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ABSTRACT

This report presents the results of an informal survey which focused upon the manner in which urban school systems are organized to perform the functions of utilization and dissemination of educational innovations. The systems of each of twenty-eight urban districts surveyed are briefly described. Results presented indicate that (1) all respondents identified the existence of informal mechanisms to keep up with new ideas in education; (2) respondents in approximately three out of four large urban districts were able to identify some type of formal process or arrangement; and (3) the structure and character of these arrangements varied significantly from district to district. Specific organizational structures and activities which support this process are detailed in attachments to this report. These include New York City's centralized structure, San Diego's teacher-based approach, and Cleveland's concerted efforts to achieve diffusion through its school-based reform project. (Author/EB)

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ED164719

A SURVEY OF THE CAPACITY OF SELECTED URBAN SCHOOL DISTRICTS TO UTILIZE AND DISSEMINATE INNOVATIONS IN EDUCATIONAL TECHNOLOGY

Isaac Adams, Jr.

Council of the Great City Schools
Washington DC

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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May 1978

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PREFACE

The National Institute of Education is committed to building knowledge of the process and structures involved in improving educational practice. Within the Dissemination and Resources Group, the School Practice and Service Division (SPSD) was especially concerned with discovering ways to provide services that help schools use R&D-based innovations that improve educational practices. A major effort in this direction is the Research and Development Utilization (R&DU) Program. The R&DU Program includes seven field operations and an associated evaluation study effort. Approximately 250 sites were recruited voluntarily from among school districts located in approximately 20 states. However, as is often the case in the area of educational innovation, very few of these R&D sites were located in large urban school districts where significant numbers of disadvantaged and minority children receive their education.

Because of NIE's equity concerns, SPSD had a special interest in finding ways to achieve more effective dissemination of R&D-based innovations with large urban school systems. To support SPSD planning, the Educational Dissemination System Support Program of the Far West Laboratory, which was then studying the R&DU Programs, was asked to undertake a search of the literature in this area. Following a largely unproductive inhouse search of the ERIC data base on an interactive terminal and an equally discouraging effort through an outside information center, we turned to Pauline Rothstein of the ERIC Clearinghouse on Urban Education at the Institute for Urban and Minority Education, Teachers College, Columbia University. Ms. Rothstein's substantial knowledge of educational research, development, and dissemination processes enabled her to search both computer and manual document bases for examples of urban school arrangements for innovation and dissemination. Despite a sensitive and careful search, Ms. Rothstein was able to find few documents that specifically addressed ways in which urban school districts facilitate the spread of locally or externally developed products or other innovations. (However, a number of backgroup materials - e.g., conferences or addresses dealing with urban school problems were identified). Because the most fruitful part of this search was derived from recent papers (see Attachments 3 and 4) as fugitive documents (see Attachment 1), we turned to the Council of Great City Schools, Washington, DC, to see if they could assist by directly contacting knowledgeable school staff. Through the assistance of Dr. Milton Bins FWL commissioned Mr. Issac Adams, Jr. to undertake the survey which is summarized in this report.

Because this was an extremely modest effort, and of an informal nature, the results must be considered exploratory and subject to further confirmation. Because usually only a single informant was contacted in each school system, the findings are especially vulnerable to underreporting of dissemination arrangements.

Perhaps the major substantive findings of the exploratory effort are these: 1) If educational innovation and dissemination support arrangements are broadly defined, a substantial number of such arrangements can be found

in large school systems. Although, without exception, respondents identified the existence of informal mechanisms "to keep up with new ideas in education," respondents in approximately three out of four large urban school systems, were able to identify some type of formal process or arrangement. Generally, it was only school systems undergoing drastic reorganization or changes in local program priorities that were unable to identify some type of arrangement. 2) The structure and character of the arrangements varied significantly from district to district. 3) Because these arrangements are rarely documented in publications that are accessed by national data bases (e.g., the ERIC system) little can be learned about them through formal literature searches. 4) The results reported should be considered as highly tentative, but indicative of the fact that organization processes and arrangements supporting educational dissemination and utilization within large urban school districts exist in most large districts. However, their existence and character will generally be unreported. Active efforts will be required to acquire useful information.

Paul D. Hood

June 1978

A SURVEY OF THE CAPACITY OF SELECTED URBAN SCHOOL DISTRICTS TO UTILIZE AND DISSEMINATE INNOVATIONS IN EDUCATIONAL TECHNOLOGY

INTRODUCTION

This report presents the results of an informal survey of selected large urban school systems in terms of their capacities to adapt, utilize, and especially to disseminate innovations in education. In particular an effort was made to ascertain the manner in which such school systems were organized to perform the three functions listed above, i.e., whether or not a formal process was institutionalized across functional units, or whether or not a specific organizational component was responsible for identifying, evaluating, adapting, and/or disseminating educational innovations. For the purposes of this inquiry a very general definition of innovations was used: "An innovation is any practice or product which is new... It does not have to be better, although some may be..." (Havelock, 1974).

METHODOLOGY

An informal telephone survey of twenty-eight (28) large urban school districts was conducted. Typically we questioned directors or deputy directors of departments of planning, research, and/or evaluation. The sample included the following school systems:

Atlanta, GA
Baltimore, MD
Boston, MA
Buffalo, NY
Chicago, IL
Cleveland, OH
Dade County, FL
Dallas, TX
Denver, CO
Detroit, MI
Long Beach, CA
Los Angeles, CA
Memphis, TN
Milwaukee, WI
Minneapolis, MN
Nashville, TN
New Orleans, LA
New York, NY
Norfolk, VA
Oakland, CA
Philadelphia, PA
Pittsburgh, PA
Portland, OR
San Diego, CA
San Francisco, CA
St. Louis, MO
Toledo, OH
Washington, DC

Of these 28 school systems only Toledo, failed to respond. San Diego and New York forwarded materials describing their innovation utilization programs. We queried research staff in the remaining twenty-five responding schools about the existence of formal or informal processes and/or organizational units within their school systems to identify, evaluate, adapt, and utilize educational innovations.

GENERAL FINDINGS

Without exception, each respondent reported the existence of informal mechanisms "to keep up with new ideas in education." Typically this process included membership in educational research associations, periodical reviews of the literature, and participation in informal networks of colleagues. Given the nature of this process it is virtually impossible to evaluate the impact that it has on the development and dissemination of educational innovations.

Regarding more formal processes, it is useful to think of the school systems in question as belonging to one of three distinct groups. The first and largest group is composed of those school systems that have rather complex, and largely institutionalized processes to identify, evaluate, utilize (adapt) and disseminate educational innovations. Among these school systems are: Atlanta, Baltimore, Chicago, Cleveland, Dallas, Detroit, Los Angeles, New Orleans, New York, Portland, San Diego, and Washington, DC. There is such a wide range of processes involved that any generalizations would be meaningless. However, the process in each school system is described briefly below.

The cities in the second group -- Denver, Long Beach (California), Milwaukee, Nashville, Oakland, Philadelphia (Pennsylvania), St. Louis, and

San Francisco have in common a process that is highly routinized and is typically defined as an on-going function of the administration structure. Thus innovation adaptation, evaluation, dissemination, etc., are viewed as part of the continual process of the organizational problem solving. The problems of instructional improvement, staff development, student motivation, etc., are usually the catalysts to identify, test, evaluate, and disseminate new educational ideas and practices. These individual systems are also briefly described below.

The third, and final group consists of those school systems that have no formal mechanism for relating to educational innovations. Typically these school systems are undergoing drastic reorganization due to sizeable funding cuts and changes in local school board programming priorities. Included in this group are the school systems in Boston, Buffalo, Dade County (Florida), Memphis, Minneapolis, Norfolk (Virginia), and Pittsburgh (Pennsylvania).

PROGRAM DESCRIPTIONS - Group I

Atlanta, Georgia. The Atlanta school system has developed a data base management system known as the Instruction Management System. This system is comprehensive in that it defines instruction as including all forms of interaction that are directly and indirectly related to the teacher-pupil relationship. This system provides for evaluation of problems, selection and testing of innovative solutions and monitoring of the implementation process. Key decision points and problem areas are identified. Quarterly written reviews of all implemented projects provide a feedback process.

Baltimore, Maryland. The Baltimore public school system has an office of People Program Models. Within that office there are a number of Project Panels that have the charge of identifying, evaluating, and disseminating

educational innovations. In addition each administrative department plays a role in one or more of the functions of innovation identification, evaluation, utilization, or dissemination.

Chicago, Illinois. The Chicago school system uses its Department of Research and Evaluation to coordinate, evaluate, and disseminate information about local and federal educational programs. There is also a Pilot Schools Research Project that tests new ideas for their replicability and searches for successful solutions to problems that other school systems have used.

Dallas, Texas. The Dallas school system spends roughly $3 million per year on its Systems Oriented Evaluation Program. This information system monitors and evaluates all units of the school system. In so doing, it identifies the kinds of programs that each unit needs to operate effectively. A large part of this program is the dissemination of new ideas in "basic and applied" research.

Detroit, Michigan. The Detroit school system has developed five separate but mutually supporting approaches for adapting innovations: 1) a user-initiated Supervisory Achievement Program that focuses on innovations that have worked in other systems--there are formal annual plans, plan reviews, and reviews of goals and options for innovative programs; 2) there are regionally based achievement specialists who evaluate innovative ideas; 3) the Division of Educational Services tests the currency of new ideas and transmits to individual schools; 4) there is the Wayne County Dissemination Project --a part of the National Diffusion Network; 5) there is a professional's library which circulates tables of contents of educational journals and copies and distributes any article therein upon request.

Cleveland, Ohio. With funds from the George Gund Foundation, the Cleveland school system has implemented the Planning Educational Environments for Cleveland Children Project for the past five years. Under this project two elementary schools have been designated as sites for on-going testing of new and innovative ideas in instruction and educational planning. The concept of collegial planning has been used in order to give the school staffs a stake in the investment of time and resources to achieve improved student performance. The diffusion experiment was described in a series of papers presented at two sessions of the 1978 Annual Meeting.*

Los Angeles, California. Under its Office of Specially Funded Programs, the Los Angeles unified school system receives Title IV-C ESEA money to test and implement new ideas for "educational improvement."

New York, New York. The New York public school system is one of the few where we found an organizational unit specifically designed for dissemination. (See attached Division of Educational Planning and Support description.) This unit is responsible for assisting in the dissemination of educational information between and among district, schools and central offices by written communications, conferences, workshops, and media presentations.

New Orleans, Louisiana. The New Orleans public school system is undergoing major changes. They have instituted a Secondary Curriculum Improvement Project (SCIP) which is designed to improve achievement and instruction by using Bloom's Master Learning Models. A large component of this effort is pilot program testing of innovative ideas, continual staff retraining, human material resource workshops and awareness workshops.

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* See for example, Anderson, R. H. "Is Diffusion the Impossible Dream?" (session 29.08), and Fleming, M. "Reality Based Urban School Innovation," (session 14.11).

Portland, Oregon. Each administrative unit submits proposals annually (from which) a number of specific improvement projects are selected. The planning and research department monitors the implementation of these new projects under its Program Change Objectives.

San Diego, California. San Diego has a formalized process - Teacher-Initiated Projects to Improve The Educational Program - to identify, fund, and implement innovative educational projects. This teacher-initiated project support program was established to encourage teachers to undertake innovative instructional projects in connection with their regular school assignments. Only new ideas are eligible for funding. All proposals must be teacher-initiated. Since these projects usually investigate specific aspects of an instructional program, project evaluation is performed with the knowledge and participation of the principal as well as the teacher. Funds are set aside as part of the annual district budget.

Washington, DC. The process used by the District of Columbia school system is based on a multiple approach. The Office of Research and Evaluation actively solicits innovative ideas, assesses their applicability and disseminates them to other program units. There is also a mini-grant program to fund new ideas for teachers to try out in the classroom. Finally there is the Peer Assistance Teacher Unit which gives technical assistance to schools and teachers and also disseminates new ideas.

PROGRAM DESCRIPTIONS - Group II

Denver, Colorado. The Denver school system has no formal process, as such, to disseminate educational innovations. What it does have is a standing committee on the Coordination of Instructional Improvement. This committee acts to define problems in the system, perform needs assessments, examine

alternatives, define solutions. It distributes its findings through regular reports.

Long Beach, California. The Long Beach school system uses its Research and Evaluation unit to develop proposals for funding for identified problems. It uses State Department of Education Title IV-C funds for this purpose.

Milwaukee, Wisconsin. The School Board allots funds for the evaluation of local innovative effort. The Research Department coordinates these efforts as well as innovative research and evaluation efforts under Title I.

Nashville, Tennessee. The only dissemination that the Nashville school system is involved in is a member of the Joint Planning Group of CEMREL. They have no research budget and rely heavily on ERIC as a source of research dissemination.

Oakland, California. The Office of State and Federal Programs in the Oakland school system is responsible for soliciting new ideas, developing proposals for Title IV-C funding and evaluating and disseminating results within its network of schools.

Philadelphia, Pennsylvania. Here again, the department of Research and Evaluation is responsible for assessing the applicability of new ideas to current problems. Innovations are usually implemented on the basis of cost-benefit returns.

St. Louis, Missouri. The division of Evaluation reports to the Program Development Committee of the Board of Instruction. The committee reviews their recommendations and decides on an annual basis which innovations to implement.

San Francisco, California. The Federal-State Projects office is organized in a fashion identical to that in Oakland (see above description).

PROGRAM DESCRIPTIONS - Group III

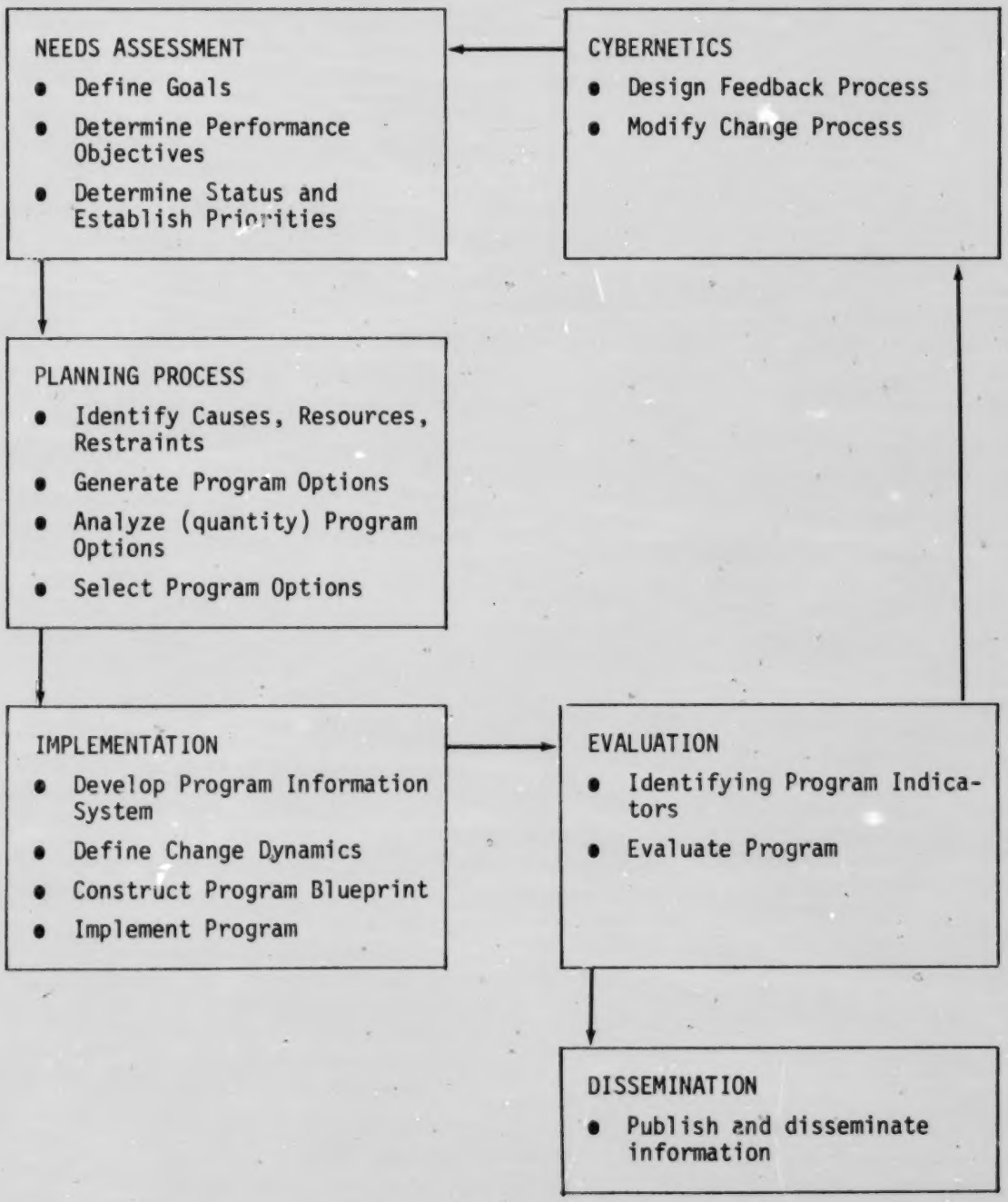
The school systems in this group all reported that no formal mechanism - either an administrative or program unit or a structured process was in place to identify, evaluate, or disseminate educational innovations. In all instances these school systems are experiencing serious financial problems, extensive reorganization, and a refocusing of direction away from research, evaluation, and dissemination activities toward other directions.

CONCLUSIONS

The use of innovations in the education process must be placed within the context of the need for change. While we noted earlier that these school systems which we placed in Group I has such widely differing designs and processes for utilizing innovations that generalizations would be tenuous, there is nevertheless a common conceptual framework present, in varying degrees, among members of this group. While recognizing that findings based upon these informal survey data are quite tentative, there nonetheless exists the basis for speculating the existence of a process that, in idealized form, is shown in Figure I. The organizational structures that supports this process varies significantly from district to district. The New York City division of Educational Planning and Support (see Attachment 1) appears to be one of the most centralized structures, while the San Diego Teacher Initiated Projects to Improve the Educational Program (see Attachment 2) appears to be highly teacher-based. In terms of concerted efforts to achieve diffusion within the district, Cleveland's school-based reform project deserves special attention (see Attachment 3 and 4).

FIGURE 1

HYPOTHESIZED INNOVATION DISSEMINATION MODEL AMONG
LARGE URBAN SCHOOL DISTRICTS



ATTACHMENT 1

DIVISION OF EDUCATIONAL PLANNING AND SUPPORT REORGANIZATION

New York, New York

Special Circular No. 6, 1976-77 CORRECTED COPY

BOARD OF EDUCATION OF THE CITY OF NEW YORK
DIVISION OF EDUCATIONAL PLANNING AND SUPPORT

September 7, 1976

TO COMMUNITY SCHOOL BOARD CHAIRPERSONS, ALL SUPERINTENDENTS, EXECUTIVE DIRECTORS, DIRECTORS, HEADS OF BUREAUS AND PRINCIPALS OF ALL DAY SCHOOLS

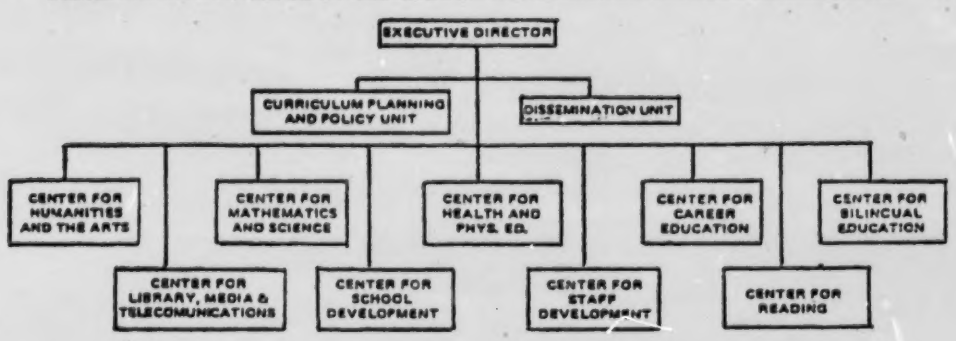
Ladies and Gentlemen:

DIVISION OF EDUCATIONAL PLANNING AND SUPPORT REORGANIZATION

In 1973, with the issuance of Special Circular No. 20, 1973-74, the Division of Educational Planning and Support was established as part of the central headquarters reorganization. The establishment of this Division necessitated a review of the functions of the bureaus and offices under its jurisdiction in order to meet the Division's goal of providing direct and effective support to the field. The Division is guided by the need to make these supportive services more available to districts and schools so that the educational process which enables our young people to grow intellectually, socially and creatively, will be more effective.

In spite of budgetary cutbacks of more than 50% in the past two years the Division remains committed to the principle of utilizing its resources to furnish direct and tangible services to schools and districts. Toward this end staff from the Division will be deployed in a manner which will provide maximum on-site support to the field. The reorganization of the Division of Educational Planning and Support as described below is part of a continuing effort to deliver this support within the most meaningful organizational structure.

ORGANIZATION CHART FOR DIVISION OF EDUCATIONAL PLANNING AND SUPPORT


EXECUTIVE DIRECTOR
CURRICULUM PLANNING AND POLICY UNIT
DISSEMINATION UNIT
CENTER FOR HUMANITIES AND THE ARTS
CENTER FOR MATHEMATICS AND SCIENCE
CENTER FOR HEALTH AND PHYS. ED.
CENTER FOR CAREER EDUCATION
CENTER FOR BILINGUAL EDUCATION
CENTER FOR LIBRARY, MEDIA & TELECOMMUNICATIONS
CENTER FOR SCHOOL DEVELOPMENT
CENTER FOR STAFF DEVELOPMENT
CENTER FOR READING

Office of the Executive Director - Arnold Webb, Executive Director - 596-8026

The Executive Director is responsible for establishing direction, setting priorities and supervising the overall activities of the Division. Assisting him in these matters are:

Nola L. Whiteman - Executive Assistant	596-6020
Susan Gawlowicz - Special Assistant	596-8026
Leonard Moriber - Assistant Administrative Director	596-8016

Two units reporting directly to the Executive Director are:

Curriculum Planning and Policy Unit - Charlotte Frank, Unit Head - 596-8017

This unit is responsible for assisting in the planning and coordination of divisional activities, preparing educational position papers, and reviewing divisional direction in the areas of curriculum and instruction.

Dissemination Unit - Thomas Vega, Unit Head - 596-4980

This unit is responsible for assisting in the dissemination of educational information between and among districts, schools and central offices by written communications, conferences, workshops and media presentations. All aspects of graphic reproduction and distribution of curriculum bulletins are under the direction of this unit.

Description of Centers

The Division of Educational Planning and Support has nine new Educational Centers located at 131 Livingston Street (unless otherwise indicated) which support districts and schools in their educational activities and coordinates special inter-district and city-wide programs. The Centers have

(Continued on Reverse Side)

the following responsibilities:

- develop curriculum bulletins
- review instructional materials
- establish and support staff training programs
- provide direct assistance to subject-area specialists
- identify new resources and exemplary programs
- develop new programs
- disseminate educational and programmatic information

The Center for the Humanities and the Arts - Florence Jackson, Director - 596-4912

This Center encompasses five disciplines: English, Social Studies, Art, Music and Foreign Languages. It will also pool available resources and provide the organizational structure for a coordinated, effective and interdisciplinary program of support for the Humanities at all grade levels.

The Center for Mathematics and Science - Sam Fried, Assistant Director - 596-6094
Frank Wohlfort, Assistant Director - 596-4434

This Center combines the two naturally allied disciplines of Mathematics and Science. It, too, uses interdisciplinary approaches to support the field in Kindergarten through Grade 12.

*The Center for Health and Physical Education - Irwin Tobin, Director - 852-0111

This Center continues to support activities related to health, environmental and outdoor education, family living including sex education, physical education and extracurricula athletics for all grades.

The Center for Career and Occupational Education - George Quarles, Chief Administrator 522-5122

This Center is responsible for the research, planning, development, implementation and monitoring of career and occupational programs for the K-12, post-secondary and adult populations. The disciplines include Industrial Arts, Home Economics, Business and Distributive Education, Trade and Technical Subjects, Health Occupations, Agriculture and Ornamental Horticulture in addition to programs for adults in basic education.

**The Center for Bilingual Education - Hernan LaFontaine, Executive Administrator 596-8038

This Center continues to support activities related to bilingual education, including those required by the mandated consent decree program. It provides support and technical assistance in the development of bilingual programs for various ethnic groups, including Italian, Greek, Haitian, Hispanic, American Indian, Chinese and Indo-Chinese.

The Center for Library, Media and Telecommunications - Morris Freedman, Director 596-3888

This Center combines activities which relate to libraries, audio-visual instruction, as well as educational radio and television programs. It provides support for basic educational programs by developing library programs, media packages, and audio-visual materials.

The Center for School Development - Hortense Jones, Director - 596-6945

This Center provides programmatic support for schools by viewing each school as an organic whole rather than focusing on a specific grade or subject area. It assists schools with overall planning and development of programs related to each school's educational philosophy and establishes linkages between schools with common interests. Staff with experience in this approach from The Learning Cooperative and the Bureau of Early Childhood, has been assigned to this Center.

The Center for Staff Development - Shelly Umans, Director - 625-7018

This Center focuses on developing the human resources necessary to implement educational programs effectively. It coordinates, supports and conducts professional staff training activities for new as well as mid-career teachers and supervisors. Executive Institutes for Superintendents, Principals and Assistant Principals as well as the In-Service Training Program are coordinated by this Center.

The Center for Reading - Malcolm Friedman, Director - 596-6157, 6176

This Center has been established to address directly the critical problems related to reading in the public schools. It will assist in the development of reading programs, the identification of successful programs and the evaluation of testing methods. Research related to reading will also be conducted.

Periodic reviews will be conducted to assess the effectiveness of this organizational structure in the delivery of meaningful and tangible support to schools and districts.

*Located at 347 Baltic Street - Room 202
**Located at 66 Court Street - 15th Floor

Very truly yours,

ARNOLD WEBB

From: New York Urban Coalition. "School Resource Directory," OPTIONS In Learning; Vol. 7, No. 1, September 1977.

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Division of Educational Planning and Support (D.E.P.&S.)

New York City Board of Education
110 Livingston Street
Brooklyn, New York 11201

596-6174
Executive Director: Dr. Arnold Webb
Executive Assistant: Nola Whiteman

Projects undertaken by the Division may involve a single school, a network of schools, an entire community school district or a group of school districts. DEP&S and its component Centers assist educational personnel to assess instructional needs and to develop strategies to reach desired goals.

One of the Division's newest projects is a "living educational resource center" at 131 Livingston Street, location of most of the centers of DEP&S. This six story building near Brooklyn's Borough Hall serves the educational community in the 5 boroughs as a city-wide educational information clearinghouse. Services include ongoing parent and teacher training workshops, the latest in curriculum, program and proposal information and a computer research service.

Services available through the Division are organized into nine interdisciplinary Centers.

- The Center for Humanities and the Arts. (S6)
- The Center for Career and Occupational Education (C4)
- The Center for Mathematics and Science (S7)
- The Center for Bilingual Education (B2)
- The Center for Library, Media and Telecommunications (S4)
- The Center for Reading (S8)
- The Center for Health and Physical Education (S5)
- The Center for School Development (S9)
- The Center for Staff Development (S10)

Three additional units are: The Curriculum Planning and Policy Unit, The Dissemination Unit and School Volunteers.

(See listings under code numbers indicated for more complete information on each Center.) (S3)

Center for Library, Media and Telecommunications
Division of Educational Planning and Support

New York City Board of Education
131 Livingston Street
Brooklyn, New York 11201

596-3888
Director: Dr. Morris Freedman

The Center provides a variety of services and resources to schools related to print and non-print media. Library media services are provided for school librarians in an effort to develop unified media programs, plan media centers, train personnel, and organize collections. City-wide services include multi-media production, 16 mm film loan service, technical assistance, and student instruction. Daily instructional broadcasting services over Channel 25, WNYE TV and WNYE FM 91.5. Channel 25 also provides daily community service television during after-school hours. (S4)

Center for Health and Physical Education
Division of Educational Planning and Support

New York City Board of Education
347 Baltic Street
Brooklyn, New York 11201

852-0111
Director: Irwin Tobin

The Center provides consultation services to schools on health and physical education programs, in-service education workshops, and out-door education programs. Free publications: *The Art of Trip Taking* and *A Guide to Residential Facilities for School Camping.* (S5)

Center for the Humanities and the Arts
Division of Educational Planning and Support

New York City Board of Education
131 Livingston Street
Brooklyn, New York 11201

596-4912
Director: Florence Jackson

English Unit: Anita Dore 596-6263

Social Studies Unit: Albert Post 596-6169

Art Unit:
Grace George Alexander Greene 596-6263

Music Unit: John Motley 596-6977

Foreign Language Unit: David Weiss 596-6976

The Center develops elementary and secondary level curriculum bulletins, reviews instructional materials, establishes and supports staff training programs, provides direct assistance to subject area specialists, identifies new resources and exemplary programs, develops new programs, and disseminates programmatic information in the five subject areas. Encourages and initiates interdisciplinary programs in the humanities at all grade levels. (S6)

Center for Mathematics and Science
Division of Educational Planning and Support

New York City Board of Education
131 Livingston Street
Brooklyn, New York 11201

596-6094
Assistant Director of Science:
Sam Fried

596-4434
Assistant Director of Mathematics:
Frank Wohlfort

The Center provides consultation, instruction, and training in math and science for superintendents, principals, teachers, students, and parents. Instructional materials for dissemination, examination, or loan available. (S7)

Center for Reading
Division of Educational Planning and Support

New York City Board of Education
131 Livingston Street, Room 201
Brooklyn, New York 11201

596-4980

This newly established Center will directly address critical problems related to reading in the schools. It will assist in the development and identification of successful reading programs and in the evaluation of testing materials. The Center will also conduct reading related research projects. (S8)

Center for School Development
Division of Educational Planning and Support

New York City Board of Education
131 Livingston Street
Brooklyn, New York 11201

596-6945
Director: Hortense P. Jones

Provides support services to Community School Districts and High Schools. Focuses on implementation of interdisciplinary curriculum that promotes continuous development of children

From: New York City Board of Education, "Directory of Programs and Services of the Division of Educational Planning and Support," Resources Spelled Out, 1978, p. 2.

Division of Educational Planning and Support
(DEP&S)
110 Livingston Street – Room 510
Brooklyn, N.Y. 11201
596-8026

Executive Director: Arnold Webb

Administrative and Programmatic Coordination: Nola Whiteman, 596-6020
Budgetary and Personnel Matters: Leonard Moriber, 596-8016
Special Assistant: Susan Gawlowicz, 596-6021

The Office of the Executive Director of the Division of Educational Planning and Support provides the leadership and direction for all divisional responsibilities including curriculum development, staff development, and the dissemination of effective educational programs for all levels of the school system, kindergarten through grade 12, including adult education. The Division provides direct supportive services for schools and districts through cooperative planning and shares educational information for the development of programs to meet the needs of New York City students.

The Division is organized into nine interdisciplinary curriculum-related Centers and three Coordinating Units, as follows:

Center for Bilingual Education
Center for Career and Occupational Education
Center for Health and Phsyical Education
Center for the Humanities and the Arts
Center for Library, Media and Telecommunications
Center for Mathematics and Science
Center for Reading
Center for School Development
Center for Staff Development
Curriculum Planning and Policy Unit
Dissemination Unit
School Volunteer Unit

The majority of these Centers and Units are located at 131 Livingston Street which is a building designed as the major Educational Resource Center servicing the public school system. Additional Centers are located at 347 Baltic Street and 112 Tillary Street both in the downtown Brooklyn administrative buildings complex. Activities and events are held for administrators, teachers, parents, students and interested members of the community. A bi-monthly newsletter, *Resources*, is distributed to the field indicating specific services and resources available from these DEP&S Resource Centers.

Although the Division has an operating tax levy budget of about $5,720,000, it generates approximately $30,000,000 from the state and federal governments and private foundations and institutions in order to service the children of this city.

From: New York City Board of Education, Newsletter of Programs and Services of the Division of Educational Planning and Support. Resources, Feb./ March 1978.

NETWORKING

THE CONCEPT

Networking is a process that occurs when diverse groups who share common interests and goals recognize their mutuality and their need to expand their growth and development. Groups go through a necessary stage of isolation in order to gain a sense of self-identity and a realization of the parameters of their weaknesses and strengths. The networking process opens up channels of communication whereby ideas can be exchanged enabling groups to capitalize on each other's resources, knowledge and experiences. A major concern in education today is the development and use of educational resources. Resource centers have cropped up all over New York City as schools and districts direct their energies toward maximizing the impact of personnel and materials on learning.

Networking the Network

Essentially a resource center is in itself a network. It taps resources available within its own sphere of influence – teachers, students, parents, the instructional support staff and materials. Therefore, a mechanism has been developed which encourages the communication among individuals working within a single school, a small group of schools or a school district.

Recognizing the influence that resource centers have had in education and feeling that a network of resources could be a significant strategy for favorably impacting upon the quality of education in New York City, DEP&S sent a questionnaire to the 32 community school districts. This questionnaire requested specific information about the characteristics of resource centers located in the districts and whether or not there was a willingness to network city-wide.

RESOURCE CENTERS PROFILED

By January 10, 1978, twenty-three of the thirty-two community school districts had responded to the questionnaire. Seventeen resource centers were identified. An analysis of the data revealed the following trends in the development of resource centers:

Purpose:

Multimedia	5 (29%)	Math	1 (6%)
Interdisciplinary	3 (18%)	Arts	1 (6%)
Bilingual	2 (12%)	Early Childhood	1 (6%)
Ecology	2 (12%)	Ethnic Studies	1 (6%)
Math/Science	2 (12%)		

Although there exists nine different focuses among the centers represented, a commonality of purpose prevailed. A majority of centers reported staff development, curriculum development and materials clearinghouse as their primary functions. Three of the centers were concerned with direct service to children in order to improve skills and increase cultural awareness.

Services:

Workshops	10 (59%)	Development and Dissemination of Curriculum	6 (35%)
Consultation/Individual Instruction	9 (53%)	Audio Visual Production and Repair	3 (18%)
Display/Loan of Materials	8 (47%)	Direct Services to Children	3 (18%)

Most centers offer a combination of services.

Staffing:

	Full Time Director	6 (35%)	
	Part Time Director	7 (41%)	
	No Director	4 (24%)	
Teachers Assigned	22	Students	3
Paraprofessionals	7½	Supervisors	3
Clerks	5	Audiovisual Technicians	2
Consultants	3	Librarians	1

A variety of personnel are involved in center operations. Support staff ranges from part time to full time involvement.

Materials:
All centers have instructional materials; fifteen provide materials on loan and nine distribute materials free of charge.

Commercial	15 (88%)	Reference	13 (76%)
Audio Visual	15 (88%)	Student-made	7 (41%)
Teacher-made	13 (76%)		

Constituency:
Centers specified the population they service. These included: teachers, students, paraprofessionals, supervisors, community and others (university students, educators outside the public school system including day care and headstart staff and other professionals). Fifteen centers serviced at least three of these groups. One center was devoted to teachers only. The majority of centers serve populations of over 100.

Utilization:

Services provided at center	17 (100%)	Activities scheduled on a regular basis	8 (47%)
Services provided at center only	3 (18%)		
On-site services available at schools	14 (82%)	Activities scheduled after school	11 (65%)
		Activities scheduled during school	14 (82%)

Funding:

Tax Levy	12 (70%)	University	1 (6%)
State	7 (41%)	Foundation	1 (6%)
Federal	2 (12%)		

Although some centers reported multiple funding sources, most are supported by tax levy allocations. Two centers receive funding from two sources; two centers are receiving funding from three sources.

THE RESPONSE TO NETWORKING

Key to the concept of resource center networking is a willingness to share information and resources, as well as to exchange services beyond the individual center's locale, while maintaining and strengthening the integrity and operation of each member center. Centers were unanimous in their positive response to both sharing information with other centers and allowing members of other centers to visit. Fifteen centers specified a desire to share services with other centers. Every center was interested in receiving information about other centers and 13 centers were interested in receiving direct services from others. Idea sharing, curriculum development, staff development workshops and increased awareness of their materials were among the services requested. Nine of the centers are hoping to expand services in the coming year. Two districts without centers plan to develop them.

DEP&S is committed to the resource center concept. Staff is now working toward creating a "living" resource building at 131 Livingston Street, Brooklyn, New York, utilizing all of the expertise and resources available through DEP&S – a resource center which will link up with other existing resource centers in New York City. Through the resource center concept, we provide many services to the New York City educational community – curriculum development and support, instructional materials and curriculum publications, research assistance, proposal information, workshops, in-service courses, institutes, and media packages.

In order to facilitate the networking process, DEP&S will provide the New York City educational community with additional information about resource centers. Published by DEP&S, Your Guide to New York City's Resource Centers offers detailed profiles of 22 centers. Included in this publication are not only centers located in schools and districts, but also centers coordinated by local universities and other educational groups. The guide, now in its second printing, is currently being updated to reflect the responses received via the questionnaires. For more detailed information regarding current resource center activities, questionnaire results, and resource center development contact Ellen Meyers, Resource Center Coordinator, Room 201, 131 Livingston Street, Brooklyn, N.Y. 11201, 596-4980.

Editor's Note: We gratefully acknowledge the contribution of Barbara Slatin, resource teacher, P.S. 251Q, District 29 in the preparation of this article. Her assistance in designing the questionnaire sent to each district and composing the final report which interpreted its results was invaluable.

SAMPLE

Board of Education of the City of New York
DIVISION OF EDUCATIONAL PLANNING AND SUPPORT
110 Livingston Street, Brooklyn, N.Y. 11201 / 212 596-8026

ARNOLD WEBB
Executive Director

Mrs. Ann Mersereau
Community Superintendent
Community School District 5
433 West 123rd Street
New York, N.Y. 10027

September 30, 1977

Dear Mrs. Mersereau,

In the fall of 1975 the Division of Educational Planning and Support was reorganized in order to provide more direct services to schools and districts. Moving from diverse sites throughout the boroughs of New York City, all of the nine newly created Educational Centers of DEP&S have been housed in or near the 110 Livingston Street Complex, and most of them have been relocated to 131 Livingston Street.

"131" now not only has a new look, but more importantly, it has taken a new direction. Staff is now working toward creating a "living" resource building utilizing all of the expertise and resources available through DEP&S -- a Resource Center which will link up with other existing Resource Centers in New York City. Through the resource center concept, we plan to provide more effectively many services for the New York City educational community -- curriculum development and support, instructional materials and curriculum publications, research assistance, proposal information, workshops, in-service courses, institutes, and media packages.

In order to fulfill the ultimate goal which is to develop a City-Wide network of cooperating Resource Centers, it is necessary to gather information from existing centers detailing their activities. Key to the concept of Resource Center Network is a willingness to share information and resources, as well as to exchange services beyond the individual center's locale, while maintaining and strengthening the integrity and operation of each member center. Therefore, it would be extremely helpful if you would take a few minutes to complete the attached questionnaire. This questionnaire is designed to help us gain a better understanding of the services, constituents, and unique features of resource centers.

Additional copies of the questionnaire are included for distribution to Resource Centers in your district. Copies for those centers with whom we have a working relationship are so labeled. If there are those we do not know about, it would be appreciated if you would make questionnaires available to them.

I would like to stress the importance of this effort to identify and gather specific information about existing centers. Once the material has been received and organized, it will be shared with you and your Resource Center personnel. Your assistance in this matter is greatly appreciated.

Sincerely,

Att.
AW:pg

23

ARNOLD WEBB
Executive Director

ATTACHMENT 2

TEACHER-INITIATED PROJECTS TO IMPROVE THE EDUCATIONAL PROGRAM

San Diego, California

SAN DIEGO UNIFIED SCHOOL DISTRICT
ADMINISTRATIVE REGULATIONS and PROCEDURES

SUPPLEMENT NO. 5308-2

LEVELS: K-12

CLASSIFICATION: INSTRUCTION, PROGRAMS AND MATERIALS **PAGE:** 1 **OF** 9

SUBJECT: TEACHER-INITIATED PROJECTS TO IMPROVE THE EDUCATIONAL PROGRAM

EFFECTIVE: 10-24-68

REVISED: 8-20-76

REFERENCE:

A. PURPOSE AND SCOPE:

1. To outline the administrative regulations and procedures for obtaining approval for the funding of teacher-initiated projects to improve the educational program.

2. Obtaining final approvals for all innovative projects is covered in Procedure No. 5308.

B. GENERAL:

1. Suggestions or questions concerning this procedure should be directed to the originating office (see Section G.).

2. Definition. Innovation is defined as a specific change in instructional methods, curriculum, materials, or facilities planned to improve the effectiveness of existing programs or to introduce new programs designed to achieve district educational goals.

3. District Policy. The Board of Education recognizes that innovation and change are inherent in seeking improvement in the educational program. Individuals and individual school faculties are encouraged to undertake innovative instructional programs and to make an earnest effort to meet the demands placed on education through the development of attitudes and environments conducive to experimentation and innovation. In addition, the Board recognizes the desirability of keeping employees aware of creative and innovative practices.

4. The teacher-initiated project program was established to encourage teachers to undertake innovative instructional programs in connection with their regular school assignments and within the regular instructional program administered by the principal. The elementary and secondary projects recommended by the Educational Innovation Grant Review Committee are conducted within regular district policies and procedures. Since this program is closely related to other instructional program improvement efforts by the district, teacher-initiated projects are further classified as school pilot programs or courses and processed accordingly.

   As these projects usually investigate specific aspects of an instructional program, field testing of the proposal requires that the implementation and evaluation of the projects be conducted within the operational structure of the individual school. Project evaluation is similarly performed with the knowledge and participation of the principal as well as the teacher.

B. 5. Duplication of Projects. Projects that duplicate or are minor variations of existing district programs, including current pilot programs or courses, normally will not be approved for funding.

6. Method of Financing. Funds are set aside as part of the annual district budget.

7. Duration of support for approved teacher-initiated projects is one year.

8. Reallocation of Equipment. The transfer of the original project teacher may result in another teacher with comparable competence at the original school being assigned to continue the project. Retention by the school of equipment originally approved for the project would be consistent with the purpose of the teacher-initiated project program.

Conversely, if the project was terminated at the original school, it would be appropriate to reassign any equipment to approved teacher-initiated projects in other schools. When there were large expenditures for equipment, the grant review committee may request the status of such projects to ascertain the feasibility of reassigning equipment to projects approved for the coming school year. It would be desirable to provide an instructional plan that verifies that the use of the equipment is consistent with the objectives of the original project.

9. Educational Innovation Grant Review Committee. A review committee is organized and members appointed annually by the Superintendent to evaluate project applications, propose priorities, and make recommendations to the Superintendent. It shall be established as follows:

Revised 8-20-76

a. Representation — Total

One secondary teacher and an alternate from each region, recommended by the regional teachers advisory council 5

One elementary teacher and an alternate from each of six elementary school regions, recommended by the regional teachers advisory council 6

Three teachers and alternates recommended by the Certificated Employee Council:

one elementary school teacher	1
one junior high school teacher	1
one senior high school teacher	1
Total teachers	14

Director of program development serves as consultant to the committee and provides coordination and information.

B. 9. b. Term of Service. To establish an alternating tenure that encourages the continuity necessary to the effective functioning of the committee, newly appointed members will serve a three-year term based on the following schedule:

Revised 5-2-78

Certificated Employee Council (TO BE DISCONTINUED UPON COMPLETION OF TERMS OF CURRENT MEMBERS)

Appoint one member to serve 1977-78 - 1979-80
Retain one member to serve 1977-78 - 1978-79
Retain one member to serve 1977-78

Secondary Regional Teachers Advisory Council

Region A retain member to serve 1977-78 - 1978-79
Region B appoint member to serve 1977-78 - 1979-80
Region C appoint member to serve 1977-78 - 1979-80
Region D retain member to serve 1977-78
Region E retain member to serve 1977-78

Elementary Regional Teachers Advisory Council

Region A retain member to serve 1977-78
Region B appoint member to serve 1977-78 - 1979-80
Region C retain member to serve 1977-78 - 1978-79
Region D appoint member to serve 1977-78 - 1979-80
Region E retain member to serve 1977-78 - 1978-79
Region F retain member to serve 1977-78

The appointing body shall appoint an alternate for each committee position. If, for any reason, a committee member is unable to serve, the alternate shall serve on the committee until that person is able to attend meetings or until the appointing body names a replacement. If a regional representative transfers to another region, the alternate shall represent that region until the appointing body names a replacement.

c. Optional Representation. The committee may request consultant assistance from appropriate divisions as deemed necessary. It may utilize district resource personnel and division staff representatives to advise on requests involving specialized and technical programs.

d. Chairperson shall be selected each year by the committee.

e. Eligibility for Application. Only district teachers regularly employed on a full-time basis are eligible.

10. Upon approval of financing under the terms of this procedure, all teacher-initiated projects shall undergo the same screening for final approval and implementation as required of all other innovative projects. (See Procedure No. 5308.)

B. 11. Preliminary approval, pending funding, shall be made no later than May for the programs to be implemented during the following school year.

C. FORMS USED AND AUXILIARY REFERENCES:

1. Teacher Request for Project to Improve Education Program, available from Programs Division. (Sample, page 8)
2. Report of Results, Teacher Project to Improve Educational Program, available from Programs Division. (Sample, page 9)

D. PROCEDURE:

1. Teacher (or group of teachers) upon Recognition of Need

a. Reviews need and ideas for improvement with other teachers, department chairperson, consultant, specialist, or principal, as appropriate.

b. Checks with subject area specialist in Programs Division to determine if project has been previously conducted as a pilot program or course.

c. Prepares request form in duplicate; may secure and attach letters of support from other teachers, department chairpersons, consultants, specialists, or site administrators. Submits form to principal for signature.

d. If funded, principal and teacher complete budget allocation form and return to program development director.

e. Prepares a "Report of Results, Teacher Project to Improve Educational Program," to be filed with regional director and program development director upon completion of project.

f. Renewal of the project for a second school year follows the regular procedure for initial project application.

2. Principal

a. Reviews plan with teacher and makes suggestions, if deemed appropriate.

b. Signs and submits plan to regional director; maintains file copy of project application and related project reports.

c. Assists teacher in implementing and evaluating project, if approved.

d. Submits pilot program or course, as appropriate.

3. Regional Director

a. Reviews plan with teacher or principal, if necessary.

D. 3. b. Signs and submits plan via appropriate assistant superintendent to the program development director, and notifies principal and teacher of such action.

c. Assists teacher and principal in implementing and evaluating an approved project.

4. Program Development Director

a. Submits plans to review committee.

b. Arranges for meetings of the committee to consider requests.

c. Submits committee recommendations to the Superintendent with budget and expenditure data.

5. Grant Review Committee

a. Establishes procedural rules of operation and annual calendar, and files with the program development director.

b. Receives and evaluates plans considering the following factors:

(1) The project should be an improvement on past practice or should suggest a new practice or approach.

(a) The proposed innovation is consistent or fundamentally sound in terms of what we know about the learning process and the nature of the subject field with respect to content, methods, equipment, and instructional materials.

(b) The innovation reduces the details of managing a classroom, freeing time for learning activities.

(2) The presentation is clear and complete.

(a) All cost requirements are specified.
(b) It contains a clear and complete statement of purpose and objectives.

(3) An evaluation plan is provided that:

(a) Includes an evaluation component in the project design.
(b) Indicates how the objectives will be evaluated.

By whom?
What evaluation techniques or instruments are to be used?
What calendar of evaluation activities is proposed?
What assistance or services will be required?

(c) Indicates how the project will likely result in a measurable or observable improvement in the educational program for students and teachers.

D. 7. c. Provides information from subject specialist as needed by the committee.

d. Makes periodic reports of noteworthy pilot studies and curriculum experiments to the Board of Education through channels to the Superintendent's office.

e. Reviews evaluative reports in cooperation with other divisions involved.

f. Publishes results, including recommendation for adoption as part of the official district program, if applicable.

g. Maintains file of approved projects, evaluations, and related correspondence.

E. REPORTS REQUIRED:

1. "Report of Results of Teacher Project to Improve Educational Program," teacher receiving project funds to regional director and program development director, upon completion of project or no later than the first Monday in May.

2. Periodic reports of noteworthy pilot programs and courses, assistant superintendent, Programs Division, to Board of Education through Superintendent's office.

F. RECORD RETENTION AND DESTRUCTION:

1. When action is completed, "Teacher Request for Project to Improve Educational Program" is filed in the office of the program development director, Programs Division.

G. ORIGINATING OFFICE: Programs Division

H. APPROVED BY:

Elvin L. Sanchez
Assistant Superintendent
Programs Division

Thomas L. Gardiner
Superintendent

SAN DIEGO CITY SCHOOLS
Programs Division

TEACHER REQUEST FOR PROJECT TO IMPROVE EDUCATIONAL PROGRAM

FOR OFFICE USE:
Project Code No.

DESCRIPTIVE TITLE OF PROJECT	SUBJECT OR AREA	GRADE(S)
Teacher:	Starting Date:	Ending Date:
School:		

ITEM A. SPECIFIC OBJECTIVES AND/OR PURPOSE

On an attachment, state the objectives and/or purpose as concisely as possible. Objectives should be related to specific outcomes. PROVIDE AN EXPLANATION ON WHY THIS IS CONSIDERED AN INNOVATIVE PROJECT.

ITEM B. DESCRIPTION OF STUDY

On the attachment, provide a brief description of the study to include, if applicable: (1) Involvement of students, teachers, including numbers; (2) Experimental procedures; (3) Content and teaching strategies; (4) Special needs of program, e.g., materials, equipment, inservice facilities, staffing; (5) Scheduling, e.g., class, time allotment, etcetera; (6) Out-of-school consultants; (7) Other.

ITEM C. MEANS OF EVALUATION

On the attachment, provide a detailed plan of evaluation related to specific objectives and include: (1) Evaluative procedures; (2) Specific standardized tests; (3) Other methods for measuring outcomes; (4) Schedule for conducting, completing, and reporting evaluative activities by June.

ITEM D. BUDGET

On the attachment, provide an itemized budget including: (1) Materials, (2) Equipment, (3) Services, and (4) Miscellaneous. Provide subtotals and grand total. Costs should be realistic and based on firm prices; provide vendor information. *Include sales tax and transportation if applicable.* Expenditures can be made only for salaries,* supplies, and equipment that comply with district policies and procedures. Budget provisions that apply to special projects financed by non-district funds, such as E.S.E.A. Title I and III, do not apply to the Teacher-initiated Project Program.

ADDITIONAL FUNDS ABOVE THE AMOUNT APPROVED WILL NOT BE AVAILABLE

Signature of Teacher Applicant: Teacher's Summer Address: Teacher's Summer Phone No.:	Date forwarded to Principal:
Signature of Principal:	Date forwarded to Director:
Signature of Director:	Date forwarded to Director of Program Development, Programs Division

*It is general policy that personnel and paraprofessional costs are not funded out of teacher-initiated project resources. The fund is to be related to materials, equipment, etc. However, funds for temporary hourly salary costs may be approved if the proposal documents the fact that expenditures for temporary hourly help will be required only for the first year of the project (for curriculum writing, development of materials, and employment of teacher assistants--limited to the specific project within the funding approved for that project), and no commitment is made or liability incurred for subsequent years.

Procedure No. 5308-2
Page 9 of 9
8-20-76

SAN DIEGO CITY SCHOOLS
Programs Division

FOR OFFICE USE
Project
Code No.

REPORT OF RESULTS
TEACHER PROJECT TO IMPROVE EDUCATIONAL PROGRAM

Descriptive Title of Project	Subject or Area	Grade(s)

Teacher:	School:

ITEM A. Description of Project Changes

On an attachment, indicate briefly any changes in design, procedures or evaluation which were made subsequent to the approval of the plan. If none were made, indicate "None."

ITEM B. Results, Outcomes, Conclusions

On the attachment, describe in some detail specific outcomes and/or conclusions of the experimental study.

ITEM C. Implications and Recommendations

dicate implications of the results for present instructional programs as related to student interests and achievement; (b) graduation requirements; (c) instructional materia (d) facilities and equipment; (e) in-service education; (f) expansion of the project to other schools; (g) costs.

NOTE: As projects are approved on an annual basis, new project applications must be submitte as provided in Section D of this procedure.

Teacher's Summer Address:	Phone Number:

Signature of Teacher Reporting:	Date:

Signature of Site Administrator:	Date:

Submit: 1 copy to Regional Director
1 copy to Assistant Superintendent, Programs Division

RVP:gp

ATTACHMENT 3

REALITY BASED URBAN SCHOOL INNOVATION

Cleveland, Ohio

REALITY BASED URBAN SCHOOL INNOVATION

Margaret Fleming
Cleveland Public Schools

Session Number: 14.11

Paper presented at the 1978 Annual Meeting
American Educational Research Association

Toronto, Canada
March, 1978

A B S T R A C T

REALITY BASED URBAN SCHOOL INNOVATION

A school-based reform project in a large urban school district demonstrated productive and counterproductive effects. These effects, while unique to this specific effort, do suggest implications for renewal and reform in urban districts. It is clear that organized, planned programs of change must be implemented. It is also clear that at least six critical prerequisites need to be considered to support such reform efforts. These prerequisites include provisions for financial bases, role clarification, bureaucratic supports, knowledge bases, staff retraining efforts and planning, development and evaluation model.

In this experience, momentum for change appeared to be significantly linked to these prerequisites.

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REALITY BASED URBAN SCHOOL INNOVATION

Participation in this symposium presents an opportunity to describe an effort in school reform in a large urban school district. The perspective of this paper is that of a central staff member, specifically director of the school district's research and development unit.

The organization of this paper includes an overview of the reform project, a comparison of selected change principles from the literature with certain key features provided for this project and a discussion of the implications of the productive and counterproductive elements generated by this project for renewal and reform in urban school districts.

I. Overview of the Project

On that day in December 1972, the green marble board room in the Cleveland Board of Education building echoed and re-echoed as a special task force detailed possibilities for a venture into school reform. Nationally recognized consultants had joined local staff in critiquing plans and brainstorming ideas for the project. Miraculously, funding was in place. A Cleveland-based foundation, the George Gund Foundation, had pledged support. The school district had committed itself to support a special project in educational improvement. Several months of discussion between Foundation and school district representatives had forged this cooperative effort. For once, the prospect of a secure financial base promised to prevent the typical "shrinking fund syndrome" common to many school reform projects.

The "touchstone" of this reform effort, which came to be known as the Planning Educational Environments for Cleveland Children Project, was to be "collegial planning." The task force stressed that this venture had the possibility of demonstrating the potential of the team planning process for school improvement. Ideally, so called improvements would not be handed down to schools. The schools would design their own improvements through team planning. This process was visualized as the critical and, in fact, the only real basis for improvement of particular school situations. More than likely, the school staff would be willing to risk implementing their locally devised innovations. Their ownership of the problems and solutions would be critical to their commitment. Staff insight would produce new needs for staff development programs to implement the programs.

Most importantly, the key elements of the planning process would be analyzed and translated into operational plans. This planning process then would be diffused to additional schools. Of course, the final hope would be that the students served at these schools would perform at anticipated as the result of the new environment created by the staff.

Two schools were invited to participate and accepted the invitation. Both schools were two of a total of 15 elementary schools serving one junior high attendance area in a predominantly Black area of the city. One school, built in 1964, and the other in 1921, represented contrasts in plant, facilities, staff, instructional climate and administrative leadership. With 54 per cent of the children from families receiving public assistance in one school and 50 per cent in the second school, the schools were well above the city-wide poverty rate. Pupil turnover rates of 58 and 53 per cent at these buildings exceeded the city-wide mobility rate. The schools, while unique, represented typical inner-city institutions. As prototypes, the schools would form the nucleus for future diffusion of the team planning process to other Cleveland elementary schools.

The task force produced a proposal for a one year planning grant. The year's planning grant, as a pre-operational phase of the project, was implemented in 1973-1974. During this period, school staffs assisted by a project manager plunged into the planning tasks. By and large, the planning sessions were scheduled during after school hours. Occasionally Saturday meetings were utilized. All team members received payment for such meetings at the rate established by the union contract for the district. During this pre-operational stage, various tasks were addressed such as assessment of needs, interpretation of school performance data and the development of objectives for project activities. These directions were translated into a

proposal by a staff member of the Division of Research and Development for submission to the Foundation.

A paramount concern of the Foundation, at the advice of the consultants, was that diffusion of the planning process be implemented in other Cleveland schools without delay, even before effects were evaluated in the demonstration schools. The July, 1974 proposal to the Foundation, therefore, featured diffusion objectives as well as operational objectives framed by the school staffs from their year's experiences in team planning. The programmatic objectives for one school proposed improvement of the reading and mathematics program through alteration of the basic instructional approach and reorganization of instructional groups across grade levels. A daily uninterrupted block of time was to be utilized for reading and mathematics. Development of pupil self concept was another primary focus of this school in the July, 1974 plan. A cross-grade enrichment pro m was implemented in pre-kindergarten, kindergarten and grades 1 and 2 at this school. A special learning center, dubbed "The Room" provided enrichment and motivation for pupils.

Programmatic objectives for the second school aimed at improvement of reading. School day organization was altered to accommodate integration of reading instruction into the content areas. Individualized, evaluation-based instruction was implemented. Parent involvement was another dominant feature of the effort at this school with parents engaging in clerical and tutoring activities for various classes.

Staff development, through a series of field-based graduate courses offered by a local university, was an adjunct to the changes at both schools. Both schools had identified a major need to upgrade teaching competencies in implementing thei redesigned programs. In addition, field persons as-

signed by the university, worked in each school assisting teachers in case studies, implementing goals they established and utilizing individualized instruction methods.

As it developed, the Planning Educational Environments for Cleveland Children (PEECC) enjoyed five-year funding support from the Foundation. This provided for one and a half years of planning and two and a half subsequent years for development and implementation of the program at the two project schools. In 1976 and 1977 programming, diffusion became the central focus of efforts. A manager was recruited to act as a training facilitator for diffusion schools. Training modules which demonstrated the planning process and utilized mini-project activity were developed for use in the diffusion schools. A Diffusion Task Force, with membership of key administrators, supervisors and research and development personnel was organized. The Task Force became a major influence when, on its advice, the school district contributed the services of a support teacher team which allowed release of teacher teams to engage in planning during the school day. Six schools were recruited for 1976 with an additional five schools joining the project in 1977. Presently, it is anticipated that Foundation funding will end in June 1978.

II. Certain Prerequisites--Critical and Otherwise

The literature abounds with analyses of conditions and characteristics related to educational change and school reform. A glimpse of this voluminous condition can be demonstrated in considering the output of a recent search request to the ERIC system. Terms such as "educational change" and "organizational change" generated almost 350 citations. Although this situation does suggest that would-be investigators need to clarify and delimit their topics, the proliferation of "change literature" reflects the complexities of the process. The fact that many good minds and dedicated hearts are into the matter of school change is a good omen. The certain failure in the literature in such a prolific way, at that, to order the complexities in the change arena is worrisome.

Of course, no writer debates the inevitability of change. Change is the only constant in the human situation. But the quality of change today is different from ever before. As Oppenheimer (1975) masterfully characterizes the situation:

> In an important sense this world of ours is a new world, in which the unity of knowledge, the nature of human communities, the order of society, the order of ideas, the very notions of society and culture have changed and will not return to what they have been in the past. What is new is new not because it has never been there before, but because it has changed in quality...One thing that is new is the prevalence of newness, the changing scale and scope of change itself, so that the world alters as we walk in it...We need to recognize the change and learn what resources we have.[1]

The contemporary debate about the schools and change appears to resolve around the need to recognize what has to be changed as well as the resources available for such change. Given the range and complexity of prescriptions for ways in which the schools must change are "welters of schemes for bringing it about" which as Culver and Hoban (1973) observe,

still leave the educator with two central questions: What changes should be made? and, How are such changes to be brought about?[2] In the flurry of discussion, planned change receives scant attention and some writers emphasize the newness rather than goodness of the innovation. "An innovation," observes Havelock, (1974) "is any practice or product which is new...It does not have to be better, although some may be..."[3] This situation could portend ominous consequences, when closer study indicates some critics appear to call for change for change's sake. Bennis, Benne, Chin and Corey (1976) define planned change as "planful application of valid and appropriate knowledge in human affairs for the purpose of creating intelligent action and change."[4] They urge "planned change" as the only feasible consideration to two directly counterposed idea systems, which they describe as a "laissez-faire nonintervention doctrine" on one hand and "Marxian radical intervention doctrine" on the other.

The particular interest of this paper is in key elements from the literature which have relevance to the local experience. In this selective sampling of the literature, an attempt is made to locate propositions which might provide a perspective for analyses of the events in the project under study. Six areas of concern which emerged in the local project provide the framework for the literature search. First, the state of the art in school change and innovation is important to provide a focus in relation to what the experts might say. Next, characteristics of innovative organizations and the idiosyncracies of school organizations seem pertinent. A third theme is the application of promising change dynamics, while a fourth topic would be phenomena such as resistance to change. Change agents and use of consultants in the change process appear as a fifth theme. Finally, a sixth category is the retraining or adult socialization problem.

From the onset of this change project, our foray into the change arena was not without an "eye on the literature." As practitioners, we have always been interested in what the experts were advising. If we were to be guilty of serious omissions and miscalculations in the development of the project, we did not want it to be because of a shoddy working knowledge of the change literature. A major hope for the project was that our change strategies could be modeled from those that had been empirically documented in the research literature. Our interest was and continues to be one of a search for direction and verification of the "appropriate and effective." The literature, therefore, offers a framework of propositions with which we must deal in self-analysis of our change project.

During the life of the project, various themes in the change literature appear to have remained static, with some minor exceptions. A recent selective review produces these directions in relation to our six areas of concern.

State of the Art:

- The literature on change is contradictory and confidence is not warranted in a number of currently held generalizations about organizational change because research methods and statistical analyses have been inadequate (Giacguinta 1973).[5]
- Few studies effectively make the bridge between the substantial body of change theory and the rich body of change practice. (Bennis, Benne, Chin and Corey, 1976).[6]
- Most educational innovations and social programs have unclear technology, long-range payoff, complex organizational rather than individual adoption processes and unclear evaluations. (Baldridge, 1974)[7]

Characteristics of Innovative Organizations:

- Certain organizational characteristics considered to be inhibitive for innovative behavior (size, complexity, role specialization, central decision-making and the like) may actually be powerful influences for innovation. (Baldridge 1974)[8]

- Schools may not be as genuinely bureaucratic as critics would have their audiences believe; more likely schools exercise degrees of bureaucratic behavior with activities falling along a continuum. (Bidwell, 1965; Lortie, 1977)[9,10]

- Bureaucratic phenomena per se are frequently equated with change resistance and impenetrability, but the term in principle is neutral. Given the tasks of the schools, no adequate substitute for bureaucracy has been found. (Tumin, 1977)[11]

- Educational systems have special properties which need to be reckoned with. These include goal ambiguity, input variability, role performance, invisibility, low interdependence, vulnerability, lay-professional control problems and low technological investment. (Miles, 1965)[12]

Promising Change Strategies:

- Rank-and-file membership participation in organizational decision-making with their superiors remains largely unsubstantiated as a general law of innovation. (Giacguinta, 1973)[13]

- Lasting educational change will come about only when practitioners see themselves as change agents. (Tye and Novotney, 1975)[14]

- Although change is inevitable, most people tend to resist change; sometimes people will not decide to change unless suitable payoffs or rewards are provided. (Kauffman, Feldman, Snyder, Coffey, 1975)[15]

- The school is the most strategic unit in which to develop improved schooling. (Goodlad in Culver and Hoban, 1973)[16]

- Three basic requirements are necessary for successful intervention. These include valid information, free choice and internal commitment. (Argyris, 1970)[17]

Resistance to Change:

- Resistance to change continues to be treated as a practical difficulty of organizations that requires a remedy and not as a social phenomenon requiring systematic inquiry and explanation. (Giacquinta, 1973)[18]

- Change problems are not primarily related to rationality but to people's feelings. (Sergiovanni and Elliott, 1975)[19]

Change Agents and Consultants:

- The real agents of change are the teachers. Change in education means change in teachers. (Sergiovanni and Elliott, 1975)[20]

- Change strategies stressing participation with or without outside change agents so that both superiors and subordinates have equal opportunity and power to influence change decisions are insufficiently supported by empirical data. (Leavitt, 1965 in Giacguinta, 1973)[21]

- Failure of planners to work collaboratively with those for whom they plan contributes to the well known American mistrust of the highly trained, academically grounded expert. (Bennis, Benne, Chin and Corey, 1976)[22]

Retraining or Adult Socialization:

- The need for retraining personnel is attested to by educators but the degree of retraining and its impact on the change efforts remains largely undocumented. (Giacguinta, 1973)[23]

In retrospect, it is interesting to relate key features incorporated into the project design to particular elements which the literature considers to be critical prerequisites for change projects.

1. Unit of Change

   The project schools were visualized as the units for change, with resources of time and money being provided directly to the schools without approval from higher levels of district administrative staff.

2. Staff participation in Planning

   The school staffs were to be organized into planning teams so that they might engage in collegial planning, accepting responsibility for the programs designed through such a process. The principal was to be a facilitator and support to this process.

3. Goal Clarity, Communication and Consensus

   Goal clarity was to be developed as a result of staff's planning of programs to respond to the needs which the staff would first determine for the school. The staff would be encouraged to develop clear objectives for their programs. Planning decisions would be made by the staff through democratic processes.. This situation would build consensus.

4. Change Agents

The proposal viewed the teachers as responsible for changes in the school program through the programs they would implement in their classrooms. With free choices and internal commitment through their participation, teachers would function successfully.

5. Consultants

Consultants, both from the school district and from outside of the school district, would be made available to the project.

6. Staff Retraining and Rewards

As the staffs identified the changes to be implemented in their educational programs, they would recognize the need to upgrade their competencies in many of these teaching areas. To meet these possibilities, a local university would provide tailor-made courses to support the teachers' intervention strategies. Teachers would receive university credit, and in some cases, a graduate degree for completion of this work.

7. Resources Necessary for Successful Change

A project manager would be engaged to service the project schools to provide access to informational resources, seeking the same both within the district and without. Funding would support planning which was to be scheduled for each school, usually on an after-school and weekend basis. Stipends would be paid to the staff. Limited numbers of supportive staff necessitated by whatever program changes were implemented would be made available.

8. Resistance to Change

Resistance to change, particularly from the school staff, would be minimized through the guarantee of free choice in participation and the democratic processes to be applied in team planning.

9. Bureaucratic Phenomena

Through support at the highest administrative level of the school district provided through an Advisory Task Force, a deliberate attempt would be made to incorporate "protection" into the project. Key administrators and supervisors were involved through this Task Force not only in receiving the inputs from the project but directing use of resources to its support.

It is evident that deliberate efforts were made to design the project according to the most facilitating dimensions for change. Inclusion of various progessive procedures or structures, per se, did not guarantee meaningful change. The project structures, of course, were never considered to be cybernetic mechanisms. As it developed, we were to learn a good deal about the difference between "animate and inanimate" components.

III. Implications--What Did We Learn?

This section of the paper attempts to accomplish two purposes. It identifies productive and counterproductive elements emerging from project operations. Second, it discusses implications for renewal and reform activities in urban school districts.

A Background

Since the middle sixties, there have been several efforts to develop a base for program renewal in the Cleveland district. These efforts have always had the tacit support of the district superintendent. Given the critical demands of his office, however, his efforts in this direction have been limited. Momentum has been continued by staff in several capacities--the assistant superintendent of curriculum and instruction, major academic subject supervisors, elementary school principals, research and development associates and supervisors, as well as the assistant superintendent of the department of special projects. Many of these personnel formed the nucleus of a key task force which had undertaken extensive development activities for a model of curriculum reform, Toward Dynamic Curriculum. When their development work culminated in June, 1970, the Cleveland Board of Education adopted the product as the official model for curriculum reform and renewal in the Cleveland district. This situation established a base of support and readiness in the district for a concept of curriculum reform. Importantly, this model emphasized the role of the local school as the unit of change within the district. School staff--principals and teachers, were viewed as the agents for such change. Unfortunately, events militated against the likelihood of installation of

of the model in the schools during this period. Financial constraints grew critical. Desegregation litigation created extensive demands upon the staff. Activities were confined to those designated for the central staff rather than the schools' staffs. Supervisors, together with their curriculum committees, undertook extensive revision and modernization of their subject disciplines. This analysis included attempts to relate all curricula to the developmental levels of the students to be involved. During this period, little direction was given to the individual schools for carrying through their roles in adaptation and coordination of the model for the local school. A majority of schools, however, succeeded in organizing curriculum advisory committees involving staff, parent, pupil and community representatives. The Division of Research and Development accomplished its assignment, the design and demonstration of needs assessment, instructional objectives and evaluation procedures for use at the individual school level. The Division provided extensive in-service of school principals. As a result, almost 70 per cent of the schools did implement some of these steps. It is important to note that support for the Division's activities in this regard did not come from general funds, but outside sources, namely grants from Title IV-C and Title V of the Elementary and Secondary Education Act. Funding prospects from state compensatory funds which had supported the development of the curriculum also faded eventually. No support was available for the continued refinement of the curricula by the supervisory staff and their committees. Changes in leadership of the curriculum and instruction department brought another direction for the supervisors toward the interdisciplinary possibilities in their curricular products rather than the steps to authenticate and validate the curricular products. Leadership from the superintendent's cabinet was minimal during this phase. Conse-

quently, the efforts dissipated at the central staff level. Only the needs assessment process and, in scattered instances, the curriculum committees survived in the schools.

Despite the frustrations of this experience, support for school renewal processes remained strong in the Department of Special Projects and the Division of Research and Development. The PEECC Project's coming as it did offered possibilities to test more ideas about change.

Reform and Renewal

Is reform and renewal possible in the large urban school district? Our experience with this project suggests a qualified answer of "yes." The PEECC experience has reinforced our belief that certain qualifications are exceedingly important, if not critical, for the success of any would-be change project. Although these prerequisites are not emphasized in the change literature, their lack of emphasis could result from the theoretical interests generally guiding the bulk of the literature. There are few linkages made between theory and practice in these materials.

Our experience has identified six critical prerequisites for so-called changed projects in large urban school districts. These include:

1. Time and Resources
2. Role Clarification
3. Bureaucratic Supports for Change
4. Knowledge Base
5. Staff Development or Retraining
6. Models for Planning, Development and Evaluation

Time and Resources

Few change commentators emphasize the need for dollars for change efforts. They may write euphemistically of the "resources" needed

to support change efforts, but rarely do they explain the conditions of the financial base for change projects. Change models do not typically feature cost components.

Our experience demonstrated that the PEECC Project could never have existed without support from the Gund Foundation. Foundation funding, most importantly, bought the planning time which the teachers required. The provision for payment to teachers for planning time required substantial financial resources. Given the contract agreements between the local teachers' union and the board of education, there was no other way that planning could occur except through teacher reimbursement. This source of reimbursement could not have been supplied by the general fund. The financial base provided by the Foundation also guaranteed the possibility that consultants and university training courses for project participants could be secured. Foundation support provided a freedom of choice never before experienced in the district. The support freed the project from the usual "trade-offs" involved in the general fund budgeting operation.

Our experience produced a new sensitivity about the dimensions of the resources which are needed to support change projects. In addition to those resources which may be purchased in the marketplace, there will be others which are "on line" in the school district. Examples would include services of various subject area supervisors, research and development specialists, personnel recruiters, warehousing and purchasing staff and the like. A school district may have to plan to utilize these supports to mount the project. Undoubtedly, this situation presents a test of the commitment of the district to the degree that it provides such "in kind" supports for the project.

The PEECC Project demonstrated that to consider change, one will need to consider utilizing time and resources. Budgetary problems plague

the majority of urban school districts at the present time. The prospect for change projects may not be promising. Simplistically, redirection of currently available resources may be a possibility. More than likely, major change efforts will come only through new sources of funding. The reality of time and resources merits more thorough consideration in the study of reform and renewal projects. Our experience has caused us to view these considerations as the "First Cause" in the matters of change.

Role Clarification

Despite the best of intentions, some organizational procedures in the project contributed to role ambiguity. Initially, considerable attention was given to clarification of the role of the project manager with the staffs of the two demonstration schools. Both manager and staffs, particularly the principals, had to share some decision making. Cooperation was critical in such situations as scheduling meetings, securing consultants and maintaining project records. A change of principal and the project manager in the second year of the project precipitated problems. With these changes, role clarification problems intensified particularly in the school with the change of principal. Clashes were frequent and written memoranda proliferated. Although the friction diminished during the succeeding years of the project, it served to constrict the role of the manager in the first school. Given the operational style in the school with the new principal, only the support of the Assistant Superintendent brought some of the administrative duties of the project under the project manager's control. In the second school, where the manager had been a staff member, the manager continued to enjoy good rapport. Her new role did not diminish this status.

Other staff assigned to the project also experienced needs for clarification of their roles in the project. University consultants had

to choose between becoming advocates for particular points of view for the school as opposed to the "downtown" view. Sometimes, the consultants faced choices between what the teachers saw as necessary as opposed to what the "office" viewed as necessary. Central staff questioned the role of consultants under Foundation auspices who visited but rarely provided feedback. An evaluator precipitated problems in attempting to assume some administrative functions and evaluative responsibilities for this program segment at one and the same time. He grappled unsuccessfully with this conflict of interest and eventually resigned.

Another source of the disparity of views about staff roles between the school staff and others certainly arose from the original concept of the project. From the vantage of "hindsight" it is evident that the school district personnel and the Design Team Consultants had different views about the role and perhaps authority of the school staff. Drawing upon an experiential base of criticism of school bureaucracies and their notorious records for resistance to change, the consultants urged that the school staffs be guaranteed minimal interference from central staff. The consultants feared that central staff would "pull rank" in decisions. They foresaw no meaningful change as occurring if this happened. The caution of the consultants for a "hands-off" stance weighed heavily upon the school central staff. In fact, "anticipatory watchfulness" might characterize their outlook as the project unfolded. Central staff members avoided involvement. One school particularly, sought "outside" consultants only. This produced an insularity between this school and the central office staff. This "stand-off" situation was, and is quite unique in the district as a whole to this day.

This insularity worked against the major purpose which the consultants advocated--the capturing of the significant aspects of the

planning process for diffusion to all schools. At the initial orientation meeting, the school planning teams vetoed any attempts to record planning sessions. Their fears were founded on the idea that these records would be used to evaluate them and would somehow find their way into their personnel jackets. As a result, they worked without any visibility of their planning efforts. Except for a retrospective analysis of what was attempted in the planning meeting, no documentation of the planning procedures was obtained. This situation prompted a major "recouping" effort when it became evident that "diffusion" rather than "program" would be required by the Foundation.

One can conjecture, of course, that if teachers had understood more about the evolving nature of their planning roles in the demonstration phase of the project, their reactions at the thought of study of their planning processes would have been more positive. Would a cooperative relationship have developed between school staff and supervisors if the roles of the supervisors had been more clearly delineated as "resources" rather than "monitors?" By way of contrast, when the helping role of the supervisors was clearly and intentionally communicated in the diffusion phase, cooperative efforts were more apparent between supervisors and school staffs.

In retrospect, it appears that role uncertainty had serious implications for the project. This situation may have actually limited some aspects of its success. Our experience brought a new appreciation for role clarification as a major and basic aspect of efficient, if not effective, operations.

Bureaucratic Supports for Change

Consultant influence counted heavily in the development of the initial proposal. They cautioned against probable sabotaging of project

activities within the school bureaucracy. This stance did not do justice to the clinical role of the supervisor in the Cleveland district. By and large, district supervisors have attempted to function as consultant and resource personnel, not as evaluators of teachers. The consultants miscalculated the necessity to tap the channels of the bureaucracy for support of the change process, rather than severing all connections. The early years of the project demonstrated that a lack of meaningful involvement of the district's central staff in supporting the local school staffs' planning, produced an insular, constricted situation. It appeared to guarantee a "malnutrition" of the change elements. Another effect was that changes undertaken in the two project schools were "contained" within these two schools.

A use of bureaucratic support was evident in the formation of the Diffusion Task Force by the school district. The Task Force consisted of key administrators, supervisors, representatives of the teachers' union and administrators' union, as well as staff development and research specialists. The school district also provided a team of six support teachers, which was later expanded to nine members, to provide for released time for teachers who formed the planning teams in the diffusion schools. The influence of the Diffusion Task Force promoted meaningful involvement of central staff subject supervisors in providing assistance to the diffusion schools. As a result, the activities in these schools actually drew vitality from the system. Staff supervisors were expected to bring their specialized knowledge and services to the maintenance of the program. Providing for a reporting arrangement of such services periodically to the Diffusion Task Force facilitated exchange of information. It was also a signal to all concerned that the project was important.

It is evident that the consultants meant the best for the project. It is evident, also, that the typical stance in the change literature is to

equate "bureaucracy" with "resistance to change." Certainly this may be possible and it may be probable in many circumstances. More than likely, however, school districts may actually operate along a continuum of behaviors--which may be more or less bureaucratic. If the bureaucracy is in good operating order, it proves to be a splendid support for the change project. Difficulties come when people do not perform as expected.

Knowledge Base

This paper visualizes the knowledge base for change as consisting of awareness of the best available scholarship about the procedures to undertake change actions as well as the areas to be changed--instruction, discipline content and the like. Second, the knowledge base is considered to be information about the specific conditions and circumstances in the school to be changed. There appears to be little recognition in the literature about the necessity for the knowledge base for change. There is little differentiation in the change literature as well between various levels of change and the change agents who function at such levels.

The PEECC project, unfortunately, did not mandate that specific provisions be made in the matter of knowledge base nor in the action arenas of the change agents. Its view was that if the school were the unit of change, the teachers would and could function as the agents of change. The project design gave minimal consideration to the need for development of planning capabilities by the teachers and the knowledge they would require along the way to accomplishing their task. It was assumed that there was a broader knowledge base than there was. It became apparent in certain developments in the project schools that the typical approach to problem solving was to select solutions first and then the problems to which they could be applied. Difficulties in defining and delimiting the problem surfaced. Of course, the project encouraged the vision of "whole" school

change. Yet, "whole" school change may require a wider coalition of change agents and a wider perspective of the school program. Although teachers require a view of the continuity of the instructional program in their school and beyond, their daily role is narrower. It is one related to the on-going decisions at the instructional level involving students, materials and teaching. Before there can be "total" school reform and renewal, there must be teacher reform and renewal at the instructional level. Teachers will require time to learn how to plan for themselves and with their colleagues to build consensus for, if not cohesion in, the school program. Inputs from other levels in the district will also be necessary and vitalizing--if not on the basis of the chance that there will be a fuller realization of the extant scholarship in the matter, then at least on the basis of the possibility of a broader perspective of the educational process.

Clearly, the PEECC Project made assumptions about the adequacy of the teachers' knowledge base to undertake "whole school" reform and renewal in the project schools. This proved to be a faulty assumption. It is evident that a more effective procedure would have been to examine the scope of the tasks for which the teachers were to have responsibility. "Delimitation" and "focus" would appear to be two helpful hallmarks in making such decisions.

Staff Development or Retraining Programs

The change literature recognizes staff development or retraining programs as critical factors in building the appropriate knowledge and attitude to undertake change programs. The literature has some major gaps such as little documentation of the conditions necessary for effective retraining programs, generally, incomplete descriptions of the degree of staff training conducive to adequate performance in change programs and limited

treatment of the relationship of the training programs to what was proposed in the change programs.

Staff development was a major component of the PEECC project. Initially, the retraining programs were to be provided through a series of consultants which were amply supported through Foundation sponsorship. During the first year, sessions presented at the two project schools featured a multitude of topics. For example, such topics included review and selection of criterion referenced tests, development of behavioral objectives, use of reading tests in an instructional management system, development of self-concept, relation of content area instruction to reading skill development, design of skill development monitoring systems, construction and use of audio and visual instructional aids and use of local museum instructional resources. Activities ranged from presentations to the entire school staff by nationally known consultants to small workshops held by local subject supervisors with various subcommittees of the planning groups. One school relied primarily on central staff while the other school placed greater reliance on outside consultants for their staff development activities.

The far-reaching nature of the topics during this series of training sessions reflected the expansive scope of the planning underway. Just as there was a lack of continuity and focus in the themes, there was a lack of relationships between consultants and staffs. In fact, some staff came to view these consultants as the "hit and run" variety. This consultant might provide helpful information, but invariably was rarely available after recommendations had been tried in the classroom. Perhaps the staff wished for consultants the same role of accountability which they were beginning to visualize for themselves. The solution proposed, at the suggestion of the central office administration, was to seek the assistance of a local

university. It was considered that continuity, relevance and maintenance of the retraining programs would be more easily attainable by giving this responsibility to a university team. Extensive negotiation between the school staffs and representatives of all universities in the Cleveland area eventually produced an arrangement with one university to provide a series of courses as support to implementation of programmatic elements. Significant portions of the 1975-76 and 1976-77 budgets were earmarked for the series of courses. The courses were to be tuition-free. They would be field-based at the two-school sites. A total of 15 graduate credit hours would be offered for the course package in an after-school time frame.

Two features of the arrangement attempted to overcome disenchantments experienced in the initial retraining attempts. The first provided for a curriculum review committee consisting of various representatives of the school staff and university instructors. The committee was to provide input to the instructor about course strengths, weaknesses, problems and solutions. This feedback was to be utilized to ensure that the courses were more responsive. The second feature was the provision of follow-up personnel at each school. These persons were to support teachers in applying the strategies emphasized in the courses in individualizing instruction. as outreach representatives of the retraining programm--it was visualized that these staff would assist teachers in clarifying and solving the problems at hand.

The array of course titles provided by the university indicate the global needs which the staff identified. Course titles included "Mental Health in the Classroom", "The Study of Instruction", "Practicum in Curriculum", "Study of Self-Concept", "Exceptionality in an Urban Setting", and "A Curriculum for the Urban Child". By and large, the courses focused on theory-based knowledge which teachers could apply in the course

of their experience.

In one school, it was the wish of the teachers to utilize instructional strategies to improve self-concepts and social adjustment of pupils, and, additionally, to adapt curriculum models to their own particular instructional situation. Dissatisfaction with the staff development program grew in this school. Staff expectations and experience produced conflicts. It is simplistic, perhaps, to engage in second guessing about the reasons. It appeared to be a case of the right combination of personalities and antagonisms to produce misunderstandings.

In the second school, where the program emphasized strategies to improve pupil self-concept and social functioning as well as the instructional development of curriculum materials for social studies, science and mathematics, greater satisfaction with the university program was reported by the university instructors.

In retrospect, it must be stated that the staff retraining program attempted to respond to the needs of the staff. However, several important clarifications were lacking. No effort was made, and it is evident that it should have been done, to determine just how much retraining the teachers required for their new tasks. Even more basically, no effort was made to determine whether or not the courses responding to teachers' reported needs were really appropriate to the demands of the change program. It was never clear that rudiments of the change program were clearly established. Therefore, designing the training program for such a change program with evolving structure was remarkable.

The staff retraining program also triggered an unique situation where teachers, supposedly with professional expertise, who are accustomed to performing their roles with low visibility in the school bureaucracy, suddenly received considerable attention in the matter of the problems

they were reporting. That there would not have been teacher trepidations in such a situation is to understate the problem.

No input was sought by the university consultants from the central supervisory staff about what was "supposed to be" in the matters of curriculum and instruction. This appeared to be a serious miscalculation. Of course, the university instructors wished to show allegiance to the school staff. This situation precluded the university instructors' gaining a first-hand knowledge of what should have been operating in the schools. Whether they would have found anything of value in the curricular guides remains to be seen. In any event, this situation served to reinforce the insularity of project operations in the schools.

It is evident from the literature that even willing teachers would have to go through a retraining period to take on new skills and attitudes for performing a new role. This realization was never adequately communicated to the staff. It was not recognized for the critical need that it was by the school system. One example of such a need for an adequate knowledge base was seen in the persistence of one school staff to focus on an objective to foster pupil self-concept. During the second year of the project, this staff had participated in at least four sessions with an outside consultant. Still the translation of the theory into classroom practices eluded them. In an attempt to operationalize and persist in their convictions, they undertook an additional course in the university retraining program. As is indicated in the evaluation of that segment of the program, operationalization never was demonstrated nor was the expected impact. Regrettably, no claims were made by the university instructor of the effects of the course upon the teaching of the participants.

A major opportunity was lost in the lack of systematic and ongoing evaluation of the impact of the retraining program on the teachers'

classroom practices. Although an effort was made in the 1976-1977 year to observe classroom instruction as a phase of the evaluation, only a limited sample of teaching performance was obtained. The results suggest that some start was made in the use of materials, pupil groups, pupil individualization, differentiation of objectives and pupil concept. However, it was never determined whether or not the awareness of strategies for individualizing instruction and enhancing pupil self concept was ever translated into workable classroom lessons.

Models for Planning, Development and Evaluation

It is this paper's contention that a major error in project design occurred when it was assumed that a model for planning, development and evaluation could emerge from the efforts of two hard pressed teachers' planning groups. From the vantage point of hindsight, this assumption seriously overestimated the knowledge base about planning in the groups, the feelings of the planning groups suddenly laden with such responsibilities and the levels of support that actually could be made available to the initial groups. It must be stated that the initial project manager was thrown, without preparation, into the task of facilitating this process. When it became apparent that the planning process could not be extracted systematically from the activities of the project schools, the responsibility for diffusion and the development of a training plan for the diffusion schools was assigned to the Division of Research and Development. On an emergency schedule, Division staff with input from the university consultants, serving as diffusion evaluators, designed a series of planning, development and evaluation modules. Concurrently in the Division, another planning project was underway with design of a model for use of schools in the district. The work of this project provided a substantial base in the adaptation work. What finally emerged is, in fact, a local planning, de-

velopment and evaluation model utilized by the Division. A diagram of the model is attached as Appendix A. This model is employed in the diffusion phase of the project now currently underway.

The lack of a model was particularly serious in the area of evaluation. Despite all hopes to the contrary, evaluation tasks for the initial years of the project were not accomplished to the extent desired. The major block was failure to convey support and security to those charged with project responsibilities that the program rather than the personnel were to be evaluated. This fear remains a perennial one in program evaluations in school districts. From the perspective of the Division of Research and Development, the evaluation of these first years was lost on the day that the staff vetoed the attempt to record their efforts at planning. Although this request may have been brash, an attempt at compromise should have been undertaken at this point. An administrative attitude of "not rocking the boat" and the inevitable combination of events and personalities conspired against the effort.

Another major factor to the failure of the evaluation during the first year was the tendency of the project manager to rely on the project evaluator for assistance in gathering and presenting information to the planning groups. This resulted in the evaluator's assuming more administrative functions that was necessary or desirable. This situation precipitated a conflict of interest in which the evaluator really could not evaluate what he had actually planned for the groups.

Given the negative perceptions of the planning teams of the dominance of the evaluator in many matters during the first year--and a hesitancy on his part to carry out data collection related to the planning process, the situation produced a stalemate. No documentation of the planning process nor of the other aspects were produced in the first year.

All that could be attempted was a retrospective analysis by university evaluators in the following years.

In the matter of the information about specific conditions and circumstances in the school to be changed and undergoing change, the evaluative process did not accomplish its full potential. Although the evaluation traditions in the district mandated continuous feedback to teachers and others involved in projects, the project did not successfully maintain this flow of evaluative information. The fears of the project schools was never more apparent than in their attitude toward participation in evaluation activities and application of the findings to the particular situation.

Fortunately, evaluation of the summative efforts was scheduled to be undertaken in the third year of programmatic operations at the two project schools. This was accomplished by an evaluator, the third to be assigned to the Division of Research and Development. Following the first evaluator, a second staff member had assumed responsibility, but then left to assume doctoral studies. Through persistent efforts in building a credibility base, the third project evaluator was able, eventually, to receive a higher level of cooperation than ever before.

Work in the 11 diffusion schools has not produced the evaluation conflicts nor the problems with knowledge of change procedures experienced in the two project schools. Careful attention, of course, is being given to building the knowledge base of the teachers engaged in planning. This has been done through utilization of the training modules, as described above, and provision of a facilitator. It is apparent, at this time, that the modules will require revisions. Their utilization, however, has provided an appropriate structure and focus for the task. The facilitator or diffusion

manager functions as a resource for the teachers in working through the modules. During this time, teachers implement a series of mini-projects in their own classrooms or in collaboration with other teachers. These experiences serve as the bases for more massive change efforts in their schools which will necessarily involve all teachers and a total school planning team. The systematic sequences in the modules attempt to provide teachers with tools to analyze needs at their school and in their classroom. At the same time, they practice the design and implementation of programs to meet these needs. Concurrently, teachers are involved in utilizing feedback mechanisms for assessment of the effects of their mini-projects. Because teachers are directly concerned with assessment decisions for their mini-projects, resistance has been significantly reduced. As questions about evaluation and other areas arise which require clarification or information from central staff, the facilitator serves as liaison between the planning teams and school district staff or outside consultant, whichever the case may be, arranging information sessions or distributing pertinent materials. The rationale between the "module-facilitator" approach is that a reality-based learning experience in which the teacher as the learner sets the parameters and receives the feedback will develop teacher competencies. Whatever momentum of success is produced is visualized as the force for further efforts to change.

Another major support to the diffusion phase of the project has been the Diffusion Task Force. Through this group, information has been channeled to and from the project across the various administrative levels and between various constituences of the district. The Task Force coalesced as a group when, as decisions were being made about schools' participation in the diffusion phase, representatives of the Teachers' Union distributed a warning about the possibility that participation would bring

"extra work" with the necessary time nor money being made available. At that point, the Task Force recommended to the administration that support teachers to release teachers for planning during the school day, would be needed if the diffusion process were to have any chance for success. The Administration supported the Task Force. This action made a substantial contribution to the "security field" of everyone involved. The Task Force has attempted to channel information to the schools. Their view of the necessity of evaluation is also positive. The Task Force is an important influence among the teachers, who feel there is support for their efforts, and see weekly evidence of it in the form of a teacher support team.

The PEECC Project demonstrated all of the problems generated by evaluation that has or probably will ever be cited by the literature. The project evaluation was shared between university evaluators and the Division of Research and Development. For example, the self-concept component and the initial phase of diffusion were contracted to university evaluators. The operations evaluation was the responsibility of the Research Division. Staff development evaluation was handled by university personnel who were charged with delivering the courses.

At this point in time, it appears that substantial differences in operations between the initial and diffusion stages are impacting attitudes toward evaluation. Cooperation of participants is at a higher level. Hopefully, the evaluation efforts will be productive for all involved.

Implications

What did we learn? Undoubtedly, we hope that we are wiser about matters related to change efforts and their evaluations. This wisdon suggests that implications for renewal and reform in urban school districts emerge from analysis of the productive and counterproductive elements of our experiences. Cleveland, of course, shares just about all of the critical

problems which any large, urban school district faces at this point in our nation's history. The challenges triggered by soaring costs, decreasing enrollments, dwindling tax bases, school closing, staff reductions and desegregation programs are unparalleled in current experience. The challenges translate into new and continuing demands for renewal and reform. It is clear that organized, planned programs of change must be implemented. It is also clear that such change actions will require a financial base. The more elaborate the program, the more extensive the support required. This situation produces a reality for the school district that reallocation of present resources, generation of outside support or combination of these possibilities will be necessary. Staff time will be the most expensive and yet most critical resource to provide for these efforts. If a school district operates under negotiated agreements with various unions and associations, then financial bases for support of change becomes even more critical. Few writers, in the extensive discussions of change and renewal projects, address what we consider to be a major prerequisite--the necessity of a financial base for change.

Our experience demonstrated a second reality for change projects. Would-be change efforts need to provide very systematic steps to ensure that the roles of project participants are definitely understood by the participants and their colleagues. Attention to this concern in the literature highlights the social dynamics of such situations. There needs to be a fuller sensitivity to the need for time to learn new responsibilities Experience with this project and others indicates that it is not unlikely that a period of three years is a probable learning period before the operational problems associated with understanding roles are solved. Then, a need for reorientation to the tasks of established staff and training of new staff continues concurrently. Our experience also suggests that

in addition to understanding the time factor for learning new roles, a change operation will have to convey "a security for making mistakes" to those persons who accept taking the risks in making changes. Role clarification is never to be taken for granted. It is deliberate and on-going.

A third area of our new-found reality relates to the matter of bureaucratic organization of the typical school district. It is our opinion that the matter is not too genuinely understood in the change literature. Our experience supports what Tumin has suggested that "when the division of labor is clear, the responsibilities clear, the goals set and the accountability established, the bureaucracy can function."[25] Peculiar as it is, bureaucratic organization probably has preserved some districts from being much worse than they may be. Its functioning depends upon how the power is authorized and exercised. If the would-be change agent recognizes the potential of the bureaucracy and knows his own situation, bureaucratic organization can be utilized as a support for change.

A fourth reality emphasized by our experience is that would-be change agents require a knowledge base for their work. While extensive knowledge bases exist in the district staff, serious miscalculation is possible when new assignments to planning groups and the like, extend the functioning and decision-making areas for these staff. Careful judgment must be exercised in balancing demands with the competencies, and in the meantime, providing the necessary learning opportunities. The solution that emerged in our experience, the training modules for planning, may represent a more structured and directive approach. Whatever their deficiences and there is evidence there are quite a few, the modules provided a framework. It will remain to be seen whether or not they can be an efficient strategy to produce effective changes. Most important in our search for a solution, the modules represented an attempt to operationalize

change theory. Operationalizing change remains the critical problem. The literature has not addressed adequately the solutions for translating change theories into practice, nor analyzing the change practices for the theories that are undoubtedly there.

Staff development and retraining efforts present a fifth reality for change efforts. Whatever the mode of the retraining effort--within the district or outside the district, in-service programs or university courses, with pay or without pay, with credit or without credit, the same problem of what course and how to improve staff skill remains. Evaluation of our efforts did not document the full impact of the training provided. We did not learn if what was provided should have been provided. What teachers really need to do their job has to be established. The fact that certificated staff with and without tenure were to be involved established participants' concerns about their roles as learners. A guiding concern for staff retraining efforts is to know first what responsibilities the staff must carry out in the change effort. Another concern will be to determine that what is provided enhances the changes to be made. Finally, there will be the concern that will not retreat as much as we fear to face it, did the training make any difference for the students involved.

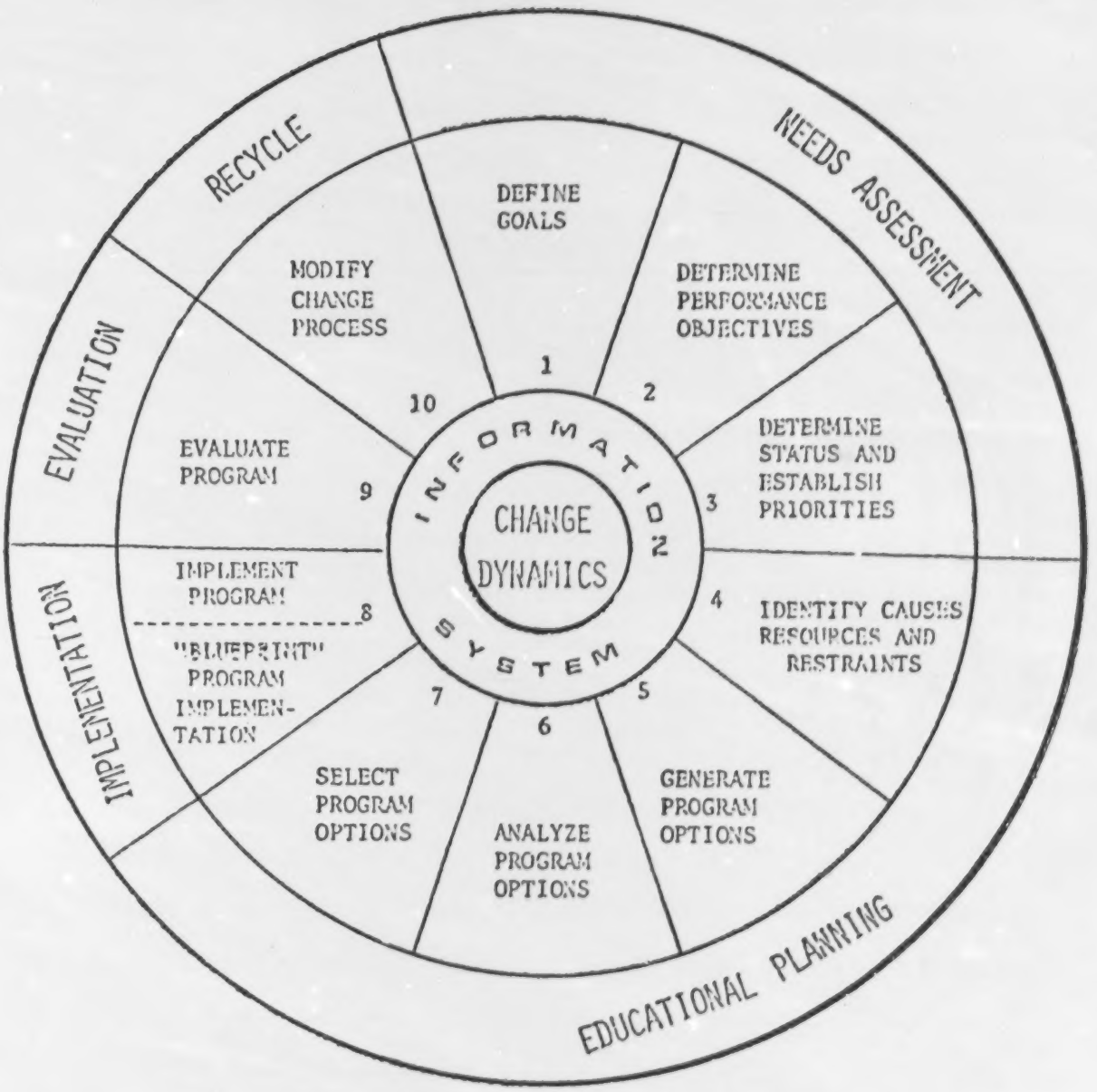
Our list of realities concludes with the critical need for a model for planning, development and evaluation as the prerequisite for embarking on the "sea of change." A model, when found wanting, hopefully, will be subject to rejection. If this condition emerges out of experience and not hearsay, it probably will be a natural, healthy outcome.

A major miscalculation in our experience was to venture into the project anticipating that a model could emerge. When it became apparent that the planning process utilized in the two target schools was lost for translation into an operational package, a solution was attempted

in designing a model for planning. The experience does underscore the critical importance, however, of an agreed upon framework, be it model or whatever, before the launching of such efforts. To thrust staffs into change efforts without a structure in typical school situations where the time is running out is naive.

Our wisdom suggests that the change literature has its share of oversights, if not myths. This criticism is offered respectfully with a realization that our experience may have been unique or even quite provincial so as to preclude our finding mirror images in the professional literature. The criticism is also offered with at least a modicum of appreciation for the multidinous conditions of time, place, information, people and the interactions which such factors generate even in the simplest of change schemes for school programs.

A CHANGE PROCESS



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ATTACHMENT 4

"IS DIFFUSION THE IMPOSSIBLE DREAM?"

IS DIFFUSION THE IMPOSSIBLE DREAM?

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American Educational Research Association

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"IS DIFFUSION THE IMPOSSIBLE DREAM?"

In April 1972 Glen Heathers, then of the University of Pittsburgh, presented a report at the Annual Meeting of AERA on a Pittsburgh-based project to train educational R&D personnel. Noting the critical need for training specialists in local educational change, he pointed out that a common failure of change-oriented program designs is the inadequacy of provisions for full implementation, for careful evaluation, and for diffusion into other schools and classrooms. It is primarily the latter question, about the adequacy of diffusion as an element in program success, to which this paper is addressed.

General Comments on Diffusion Problems

Scholars who have examined within-district educational improvement programs are fairly well agreed that innovative practices or products, even when successful on a pilot basis in one or two schools, may fail to spread to other schools in the district in the absence of a diffusion system. Inasmuch as many, perhaps most, such improvement programs are related to assessed needs that exist not only in the pilot schools but in all others, the failure of such programs to reach and benefit the entire school network represents great waste as well as lost opporutnity. When the assessed needs are particularly crucial, as for example significant gains in reading skills, failures of diffusion may have disastrous consequences.

There are many possible explanations or reasons for the failure of a successful pilot program to spread district-wide. One may be that the program is not perceived to be appropriate or relevant to some schools: this could

either be true, in which case no harm is done by ignoring the program, or it could be false, in which case there is probably a lamentable failure of communication and/or analysis. A second reason for a diffusion failure could be that higher-priority problems (and therefore solutions) are excluding the program from favorable consideration at this moment in history. Yet another problem may be budgetary: if the program itself carries a high price tag, for example in materials or in staff retraining, and unless extra funds (e.g. of the sort that nourished the pilot program) are available, there will be reluctance to venture into it even when other motives may be high.

Motivation within a local school staff is influenced by many factors, one of the most important of which is the commitment to and the understanding of the innovation on the part of the local school leadership. The local leader, in turn, may be much influenced by his/her perception of the commitment and understanding of the superintendent and his central office staff. The logical corollary of this argument is that central staff must exhibit leadership in the diffusion effort, and find means for infecting other principals with the enthusiasm of the pilot school principals, if innovation is to spread. Further on this point, it is crucial to avoid other principals' perceiving that the innovation is somehow the unique invention or "property" of the pilot school, or is in some other way potentially alien to their own needs and settings.

Finally, it would seem that diffusion fails most often for the obvious reason that a comprehensive, long-term well-defined diffusion strategy was not developed early or well enough. One key to such a strategy is advance planning and an emphasis upon eventual diffusion during the initial pilot stage. Although premature diffusion efforts could be disastrous, it seems

that far more often the diaster stems from starting too late. Massive efforts at communication, in the involvement of representatives of other schools in initial planning, in including those representatives in pilot-stage studies and analyses, and (especially) in the provision of in-service training for handling the change program, are highly to be desired. The latter, in particular, can do a great deal to break down the usual reluctance of teachers and principals to accept change programs. Given that involvement in pilot-development and diffusion of innovations almost always requires time and effort beyond the call of duty, the breakdown of such reluctance (or, stated positively, the implanting of enthusiasm) is one of the most crucial tasks of all.

PEECC: A Case Example

The project being examined in this symposium, Planning Educational Environments for Cleveland Children (PEECC) was originally conceived in early 1972. Records of the early discussions refer to an intent to "demonstrate a workable model to others." The project was to have a very sophisticated evaluation design. Outside consultants as well as central-staff personnel were expected to play a large role, although it was also stressed that the local school staff would have a great deal of autonomy and flexibility in developing their programs. By the third year, one February 1972 document indicated, the Cleveland school system would "demonstrate that successful practices developed in the project are being diffused to other schools in the system."

On November 28, 1972, a major conference was held for purposes of exploring program possibilities. Eight outside consultants plus some twenty local personnel shared in this conference, during which the idea of diffusion

was built in, although somewhat less centrally than the February document had indicated. Also mentioned was the idea of a chronicler-historian, much of which idea was lost as the project moved forward. This might, in retrospect, have been partially due to personnel turnover at the management level.

By spring of 1973, there had been generated a proposal that was eventually funded by The George Gund Foundation. The proposal was based on the idea that the pilot schools would develop a process that occurs within a school and has system-wide applicability.

Even at this early date, several questions were raised by the outside consultants. One of these was, "What would be the involvement and the commitment of central administrative leadership, and what training and preparation would be given them?" This question was never quite answered, partly due to heavy central office workloads and pressures but perhaps also due to psychological resistance. Another question: What will be the project's posture toward junior high school and senior high school staffs, and (again) what training and preparation for them? The question remained unanswered throughout the project. A fourth question concerned the clarification of authority and responsibility, central staff vs. local staffs. This question remained a knotty one, and despite apparently sincere effort could not be said to have been resolved altogether. Finally, what will be the system-wide diffusion plan? As is indicated below, the answer to this crucial question was slow in forthcoming.

By the end of the first year, during which no diffusion-related activities of any importance occurred, the outside consultants again pressed (in an April 1974 conference) for a diffusion plan to be developed and implemented. Later in 1974, when the second-year funding request was being negotiated rather strenuously and over a dangerously long period of time,

there again developed rather strong disagreement between the Cleveland Schools staff and the consultants (who were advising The George Gund Foundation) over the emphasis to be given to diffusion. In brief, the consultants were arguing for considerable and early diffusion emphasis, and the Cleveland Schools people were insisting instead upon more support for continuation of program development. Letters exchanged during that period reflected some tension on this point, with the schools people urging "a longer but more prudent route of adequately testing" the action phase of the program. The latter appealed both for more support of program development and for a longer time to carry out research on diffusion models along with retrospective analysis of the initial year or so of experience. They sought to do research not only on models, but also on their application in real settings, the development of diffusion guidelines, the analysis of operating procedures in the Cleveland Public Schools, and the computation of implications for consideration in diffusion-plan development. They also argued that second-year data would be essential to an adequate analysis of the planning process, and in turn to establishing and field-testing a diffusion model.

At any rate, the project moved forward during the 1974-1975 academic year with relatively little diffusion effort. There was during that year, however, an effort to do a retrospective analysis of the planning process that was developed and utilized during 1973-1974. Examination of available records, interviews with planning team members, and other inquiries provided the data for this review, which continued into the ensuing year as well. This activity was helpful in setting more diffusion activity into motion.

In August-September of 1975, the consultants were again urging more diffusion effort, e.g., with a Diffusion Task Force (DTF) as proposed by the

Cleveland people. They pointed to the need for adequate statements of the two schools' process models and of the diffusion process to be followed.

A few words might be inserted at this point concerning the sorts of information and knowledge that would be useful in early stages of a change program. When such a program has been underway as long as two years, it should be possible (under good supporting conditions) for participants to come up with an adequate statement of the process model(s) represented in the project school(s), and of the diffusion process that is seen as capable of engaging other schools in the district. If other schools are in fact to be persuaded by available information that they would like to employ a similar process, such information should explain:

1. How the school(s) got involved;
2. How the planning teams were set up, and with what purposes and procedures;
3. What was the role of the principal;
4. How the planning teams related to the other teachers in the school(s);
5. How the parents were involved;
6. How the project director and others in the central administration related to the personnel in the school(s);
7. How trainers and other resource people (specifically in this case, outside consultants and the university people in the area) have provided or will provide assistance; and
8. How the process model incorporates evaluation of implementation and outcomes.

To return to our narrative: when in PEECC a Diffusion Manager was finally appointed (November 1975) and the Diffusion Task Force was about to get underway (which it did in February 1976), it had available several kinds of resources on which to base its work. In October 1975 the diffusion

evaluators presented a 70-page report, "Review of Diffusion Literature: Guidelines and Implications for PEECC Diffusion," within which were included summaries of the reports reconstructing the team planning process (1973-1975) in the two schools, and the recommendations of which became a focus for Task Force study. Other information was assembled, e.g., from Kettering Foundation's I/D/E/A/-IGE program experience, and Dr. Heathers was consulted (through infrequently) as well. The latter was less committed to the "linkage model," (a la Mary and Ronald Havelock) than were the diffusion evaluators; and it may be that confusions were created for the Task Force members by the somewhat varying inputs from outside consultants during the first months of their activity, as well as by the tensions that continued to exist between those pressing for full-scale diffusion effort and those desiring an extended period of development support prior to such effort.

In the early planning, as has been noted, it was determined that completion of descriptive analysis of the team planning process (1973-1974) should precede the establishment of a diffusion model and of guidelines for extension of the team planning process to other schools. The analytic description completed for this purpose by the summer of 1975 (by Drs. Brethower and Pasch) confirmed among other things that the two pilot school staffs, though appreciative of the help provided by staff and consultants, tended because of other pressing concerns not to be comfortable with the connections they were expected to maintain with the Project Manager(s), related project personnel, and consultative input tended to be seen by the project teachers as time-consuming, distracting, and possible threatening to the autonomy they were eager to assert and preserve. References to poor communication with outside project people imply that much care must be used in the selection, introduction, and utilization

of outsiders, and also imply that there was resistance to some of the messages being communicated. This may have been especially true where outsiders seemed (and probably were) less interested in prolongation and expansion of the program-building activities than in R&D and in diffusion, the latter clearly implying that the "action" and related resources would soon be moving to other places. Whatever the explanation, it was of concern to the consultants in early 1976 that a mutually satisfactory general model for obtaining expert assistance from internal or external sources had not yet been worked out in the project.

Other papers in this symposium explain what was done during 1976-1978, with reference to selection and support of eleven additional schools. A major mechanism, which the school district generated and developed on its own, was the support teacher group. This group, whose role was to relieve the diffusion-school teams of their classroom teaching responsibilities on a regularly-scheduled basis, was deliberately comprised not of ordinary substitute-teacher types but of recognized and respected professionals capable of providing excellent services while the diffusion-team teachers were engaging in project-related planning and studying. The Diffusion Manager saw the need for the support team to be thoroughly informed about, and committed to, the planning model for change; and she therefore took pains with their orientation. This resulted in both a more widespread understanding of project goals and also a greater degree of continuity in the schools' programs.

General Discussion

In any project concerned with needs assessment and subsequent efforts at corrective or developmental responses, finding time is one of the greatest and most predictable problems. Especially difficult, given the constant

pressures faced by teachers to keep the program in motion, is the provision of time for reflection and planning. Unless time blocks can be arranged, for example through the intervention of a support group, neither the operational success nor the morale of the teachers can be easily maintained. Understanding and commitment, however, make an even greater difference in the readiness of teachers to tackle difficult and time-comsuming tasks; and the Diffusion Manager's role in the Cleveland project was fashioned in terms of these realities. Among her most important functions was that of helping the planning teams to become more deeply aware of project goals and of their actual needs, on the one hand, and of the resources that are in fact available for dealing with those needs, on the other.

As an additional comment on the problem of time, it may be difficult in most projects even with funding assistance to provide a support-teacher group as a way of freeing a team for program planning. One possible solution, in which central staff can play a role, is to schedule the special teachers (art, music, P.E., etc.) in a building in such a way that the regular classroom teachers can schedule planning sessions within that time bloc.

Equally important is that the leadership staff of the entire school system must commit itself to diffusion-related planning and implementation. Fortunately, central office staffs have more freedom than classroom teachers to determine how their time is spent. Therefore, the basic question is not whether time is available, but rather, whether the available time will be reserved not for the usual fire fighting and system maintenance activities, some of which are in the end less important, but rather for activities on which the future depends.

One of the major unresolved questions in all of the literature on planned change, and also in the Cleveland project, has to do with the optimum balance

between direct expert input into the change process and the formulation and implementation by the local school staffs of changes of their own design. Most authorities seem agreed that significant and lasting changes do not occur unless the local staffs responsible for them have internalized the necessary understanding of, and commitment to, the proposed changes. Few if any authorities propose that outside consultants should impose their ideas directly upon the local staffs, however meritorious those ideas may be. However, most seem to recognize that consultants can be extremely helpful at appropriate times and in appropriate ways; and a source of frustration to at least two of the project consultants (myself and Professor Glen Heathers) was the early disinclination of the school system to make sufficient use of expert consultants both from the outside and from within the system. This reluctance to utilize such help was probably not explained by budgetary restraints per se, and it may not have been due to deliberate rejection of the notion of receiving assistance or of the over time the pilot school staffs did develop some excellent relationships with some of the available helpers.

This leads to some interesting questions about the various helping roles that have emerged in the education profession, especially those in central-staff situations. When one compares the usefulness of outside consultants versus local personnel, everything else being equal, it is probably true that the best and most welcome resources are those nearer at hand. One problem in efforts at implementing changes is that the local specialized resources may not be or seem as visible or as available as they might be, often because top administration invades the time of such people in the constant "battle for survival." As a result, the program-development talents that are housed in the central office often go to waste.

Cleveland's experience on this point is both illustrative and heartening. The two pilot schools, probably as a result of the autonomy and even insularity they were permitted, perhaps even encouraged, to have in the first two years, were and have tended to remain somewhat disconnected from the central staff; although as noted above they did over time learn how better to use central staff people. Awareness of this problem caused the Diffusion Task Force to work harder at helping the eleven diffusion schools to connect with the central staff, and the resluts have to date been rather impressive.

If it is true that many teachers underestimate or are pessimistic about locally-available resources, then a major breakthrough could result from turning those attitudes around. Top administration would, obviously, have to re-arrange its own priorities so as to free the program-leadership staff from administrivia and irrelevant assignments. Redefinition of central-office staff functions should also include tough-minded analysis of the actual program-development skills (and commitments) of the various program specialists, since not all such persons have the vision, the knowledge, or the leadership talents that such work requires. Persons who are either professionally mediocre (in which case they won't be much in demand) or uncommitted to program reform (in which case they'll remain aloof or inaccessible) should be channelled into other roles. Persons with both the talent and the commitment, as the Cleveland program demonstrates, soon become overloaded with opportunity once the local school staffs become aware of their accessibility and also their prowess.

Some Final Thoughts

In this paper less attention was paid to the actual accomplishments of the two pilot school staffs than to their responses to the diffusion effort. It should therefore be acknowledged that important changes did in fact come about in the teaching behaviors and other skills of those staffs. Learning how to work together, and to share ideas and problems, was a great challenge that eventually produced many satisfactions. Even more important was the breakthrough that came about when the teachers began to see children and their growth longitudinally, and therefore raised their vision of what was both necessary and possible. Levels of professional discourse over the several years grew higher in the view of consultants and other observers. However, suitable means of conveying this message, and the specific lessons learned over time by the pilot school teachers, did not emerge. Nor, for the most part, did the products of the work done in those two schools diffuse to other schools. Even the process outcomes, as might be expected, have diffused only with considerable modification.

As of 1977-1978, the two pilot schools remain psychologically and operationally disconnected from the diffusion schools. Their involvement in, and apparently their sense of responsibility for, disseminating to the eleven schools the processes developed and lessons learned has been minimal. Instead, the Diffusion Task Force, particularly through its manager, is the key to the changes underway in the diffusion schools. These changes are, as indicated, concerned mostly with process.

And so we come to the question, is diffusion the impossible dream? Cleveland's experience reminds us that there are many problems, but it does not support a pessimistic conclusion. We learned that major, even minor, changes require enormous effort, which effort is unlikely to be made without

great understanding, deep commitment, and considerable support. There must be a feeling of ownership (of ideas, of strategies, of goals) on the part of the local professionals: external consultants can help to define the ideas, strategies and goals, but ultimately the enterprise cannot be theirs. We learned that historic attitudes, fears, perceptions and experiences cause project participants sometimes to wrestle with the wrong problems, or to resist proferred assistance, or to distrust the ability and/or willingness of support staff to be useful. We learned that diffusion is not a high priority interest or concern of teachers engaged in what they perceive as a difficult and demanding development project, and that even the central administration may not accept the need for early and continuous attention to diffusion until later in the project's history when there has accumulated sufficient evidence in their minds of the project's validity and usefulness. We also learned that what is ultimately diffused may well be different from what was originally expected. Cleveland's diffusion effort over the last two years of PEECC was made possible not only by the continuation of a generous gift, but by the realization that grew over time, to the effect that talent plus commitment (at all levels) plus goal-awareness can result in the invention of workable strategies.

American teachers and administrators are not sufficiently oriented to planned change, either by preparation or by disposition while on the job. Change processes are very complicated and call for high levels of training as well as commitment. Major changes in professional roles, in conceptualizing the school as a growth system, in the skills of collaborative planning and problem solving, require commitment in dollars and in time to intensive staff development. Such training is essential for the pilot school staff (principal and teachers), as well as for those involved in diffusion efforts.

Thus, it seems that if local people are to accomplish their dreams, available monies must be used for planning and commitment to model building, to diffusion, and to training local professionals fundamentally to alter their working relationships with each other and with students and parents. Until and unless there is sufficient recognition of the need both in hard dollars and in well-conceived programs of training and of supervision, it does not seem that major changes will be attempted, much less say diffusion of the products and processes that result. That they simply must be attempted, and that the best possible dreams can and must be fulfilled, is the only conclusion we dare reach.